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## ASSESSMENT

# CAPACITY DEVELOPMENT IN SELECTED USAID|PERU ACTIVITIES

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# ABSTRACT

This report presents the Capacity Development (CD) experiences of seven of USAID's activities in Peru, using the Human and Institutional Capacity Development Model (USAID, 2010) to address CD at both institutional and individual levels. The analysis of four elements—the CD conceptual model, methodology, implementation and overall results—was based on a comprehensive review of activity reports related to the seven cases and information gathered during interviews with selected informants, counterparts and beneficiaries.

The cases show the particularity and complexity of the design, implementation and follow-up of CD interventions. Lessons learned from the analysis of the cases include:

Better capacity development results are obtained when the model integrates individual needs with those of the organization and the environment. Likewise, capacity development is enhanced when strategies are based on a previous analysis of the organization's context, needs and capacities, and when the design is developed in a participatory manner, considering the characteristics and interests of the organization and the intervention site. In the case of the public sector, capacity development interventions included in the institution's operational plan are more likely to be financed and therefore sustainable. On the other hand, faced with the challenge of frequent turnover of managers and workers, organization-wide communication is important to ensure the continuity of the improvements achieved. Finally, adding specific capacity development indicators at the process, results and outcome levels facilitates the monitoring and understanding of capacity development at the individual and institutional levels.

# CAPACITY DEVELOPMENT IN SELECTED USAID|PERU PROJECTS

## FINAL REPORT

The opinions of the authors expressed in this publication do not necessarily reflect the opinion of the United States Agency for International Development (USAID) or the United States Government.

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# ABBREVIATIONS AND ACRONYMS

ADS	Automatic Directives System
AGP	Pedagogic Management Area
AMAG	Magistrates Academy
ARAU	Ucayali Regional Environmental Authority
AT	Technical Assistance
CAP	Personnel Assignment Chart
CDCS	Country Development Cooperation Strategy 2012-2016
COICA	Coordinator of Indigenous Organizations of the Amazon Basin
COR	Contracting Officer Representative
CD	Capacity Development
DEFFS	Executive Office of Wildlife
DEVIDA	National Commission for Development and Life without Drugs
DRE	Regional Education Office
ETR	Regional Technical Team
FECONAU	Federation of Native Communities of the Ucayali and Tributaries
FOCAS	Functional Capacity Strengthening Organization
FTA	United States-Peru Free Trade Agreement
GDC	Capacity Development Group
GGD	Decentralized Management Group
GOREL	Regional Government of Loreto
GOESAM	Regional Government of San Martín
GOREU	Regional Government of Ucayali
HICD	Human and Institutional Capacity Development
ICA	Institutional Capacity Assessment
ICAA	Conservation Initiative Project of Andean Amazonia
ICI	Institutional Capacity Index
IADB	Inter-American Development Bank
IDE	Special Data Infrastructure
IDEHPUCP	Human Rights Institute of the Pontifical Catholic University of Peru
IEC	Economic Incentives for Conservation
MAPRO	Procedural Manual
MINAM	Ministry of the Environment
MINEDU	Ministry of Education
MOF	Organization and Operations Manual
M&A	Monitoring and Assessment
NAP	New Alternatives Project

OECD	Organization for Economic Cooperation and Development
PAP	Analytical Personnel Budget
PCM	Presidency of the Council of Ministers
PDC	Capacity Development Plan
PEI	Institutional Strategy Plan
PEEL	Teaching is Leading Project
PFSI	Peruvian Forest Industry Initiative
PGRD	Partners for Global Research Development
PIP	Public Investment Project
PMCS	Service Quality Improvement Plan
PMP	Performance Management Plan
POI	Institutional Operations Plan
ProDescentralización	Decentralization and Local Governance Project
ProIntegridad	Project to Promote Justice and Integrity in Public Administration
PUCP	Pontifical Catholic University of Peru
RI	Intermediate Results
ROF	Organization and Operations Regulations
RRRAR	Data cycle: Collection, Review, Report, Analysis and Feedback
SE	Ecosystemic Services
SD	Decentralization Office of the PCM
SEA	Learning Assessment System
SERVIR	National Civil Service Authority
SISPOST	Post Eradication Information System
SNIFF-MC	Control Module. National Wildlife and Forestry Information System
SNIP	National Public Investment System
SRBPD	Recognition System of Good Teaching Practices
TUPA	Unified Code of Administrative Procedures
UA	Support Unit
UGEL	Local Education Management Unit
UPCH	Peruvian Cayetano Heredia University
USAID	United States Agency for International Development
USFS	United States Forest Service

# EXECUTIVE SUMMARY

The purpose of this study is to offer relevant conclusions and recommendations to USAID from a series of case studies documenting the Capacity Development (CD) interventions carried out by seven activities<sup>1</sup> funded by USAID/Peru. The following questions guided the research conducted to develop the case studies:

1. Which capacity development **model or methodology was applied** by the activities?

This question aims to identify the model or theoretical approach to CD that the activity used in the intervention, including how the activity design conceptually focused on capacity improvements, the methodologies and strategies used, the components of capacity development considered, and any gender or intercultural approaches and considerations that were taken into account.

2. How did USAID **activities implement** capacity development models and methodologies?

Several aspects related to activity implementation were addressed. Questions attempted to identify the strategies and mechanisms used to obtain institutional commitment and stakeholder engagement; consideration of the institutional context of counterpart institutions; and how initial performance was described by implementing partners. Interventions implemented included training (e.g., workshops, courses, internships, mentoring, diplomas) and technical assistance (e.g., coaching, technical meetings, tutoring, accompaniment), as well as the organization and implementation of activities that involved sharing experiences among institutions.

3. How were CD activity **results measured and monitored**?

This question aims to understand the monitoring and evaluation systems, as well as the indicators, used to measure the results and outcomes obtained at both the individual and institution levels.

4. What **achievements**, in the CD of individuals and institutions, were achieved as a result of USAID interventions, **according to the monitoring and evaluation** system results?

The last question aims to identify the most important achievements, as well as the primary obstacles and limitations, to successful capacity development in each case study, as related to the sustainability and institutional mastery of new capacities by counterparts and target populations.

The cases analyzed are as follows:

*Table 1: Cases Analyzed in Selected Activities*

Activity Name	Capacity Development Case
New Alternatives Program (NAP)	Strengthening drug-free lives in the valley of Monzón
Amazonia Reads: Capacity Development and Commitment	Innovation to improve learning in reading and writing in San Martín
Decentralization and Local Governance	From practice to policy: an experience of articulation and capacity

<sup>1</sup> An activity carries out an intervention or set of interventions, typically through an implementing mechanism such as a contract, assistance program, or partnership with another U.S. Government Agency, the partner country government, other donors and development assistance agencies, NGOs, and the private sector (USAID Program Cycle Operational Policy - ADS Chapter 201).

Activity Name	Capacity Development Case
(ProDecentralization)	building for improving educational services in San Martín
Promoting Justice and Integrity in Public Administration (Pro-Integridad)	Contribution to the anti-corruption justice system in San Martín
Environmental Management and Forest Governance Support (Peru Bosques)	Contribution to forest management in Ucayali, the case of the Regional Environmental Authority
Peru Forest Sector Initiative (PFSI)	Contributing to forest management in Loreto: The first geospatial information portal
Initiative for Conservation in the Andean Amazon (ICAA II)	Learning from economic incentives to conserve the Amazon in Ucayali

The conceptual framework used for this study is the Human and Institutional Capacity Development model (USAID, 2010), which offers a systemic, integrated and holistic approach to understanding the process of capacity development at both the institutional and individual levels.

This study uses a case study methodology, built on information obtained through an extensive desk review of available documents as well as interviews with key informants. This methodology allows for an integrated and in-depth examination of the seven activities identified by USAID that have some degree of CD interventions incorporated into their work, but also represent a diversity of activities covering all of the Mission’s three Development Objectives. Additionally, the team prepared a matrix of findings to yield specific conclusions from each case, in addition to cross-cutting conclusions from across all seven cases.

The following are the most important **conclusions and recommendations** of the study:

### **Model and Methodology**

#### Conclusions:

- The concept of capacity development is understood and implemented by the seven activities using diverse methodologies, but in most cases aims to strengthen institutional development. In the case of training activities, designs for the interventions did not always include a clear link between the overall work of the activity and institutional strengthening.
- In activities that were most clearly oriented toward CD, either as a general objective or a specific intermediate result, the methodology was generally either derived from a theoretical conceptual model or developed based on lessons from previous interventions. When the focus of the activity was other than CD, the activity generally didn’t apply a specific theoretical model or approach to capacity-development, nor consider targeted gender or intercultural approaches.

#### Recommendations:

- To successfully advance CD, the activity design should explicitly include a definition of the capacity development component(s) planned and the target audience in mind, to clearly distinguish among related activities, and set aside budget resources to effectively monitor tasks. In case of a cross-cutting CD component, carving out explicit budget and staffing requirements to support the CD activities is critical, otherwise it is likely true CD will not occur.

## Implementation

### Conclusions:

- In interventions that carry out capacity development activities according to the needs and requirements of a local counterpart, activities were successful in establishing a dynamic and direct relationship with local leadership. This relationship can be quite useful. On the other hand, some activities focused their needs assessment on CD at the individual level, without orienting it towards the achievement of sustainable institutional capacities. For those activities whose core purpose is capacity development, local institutions were willing to work with USAID.
- There are technical assistance activities that support institutional arrangements of the counterpart, but without clearly defining the design, implementation and monitoring of this support. Consequently, at the institutional level, it is difficult to visualize the capacity development results of the assistance and its specific contribution to the final results, and the mechanisms in place to ensure integration with the individual trainings.
- In some cases, technical assistance activities oriented to produce counterpart institutional documents did not include a socialization or training of organization members. This might led to a gap in sustainability.
- Each activity addresses gender and cultural backgrounds in different ways, and in some cases there is no gender analysis that can guide specific strategies and activities with a gender focus.
- USAID's support and involvement with the activity contributes significantly to reinforce the commitment of the counterpart to the activity. This allows feasibility and achievement of expected results of the intervention.

### Recommendations:

- Activities should begin implementation with a contextual diagnosis of counterparts to identify the opportunities and risks and to improve the assumptions. To do this, continued use of a participatory approach is necessary. The approach will better elucidate the contribution of the activity to the counterpart's achievements, manage risks, and reformulate the activity strategy in a timely manner. This diagnosis can be carried out through a contextual baseline or situational diagnosis that identifies and describes the trends, risks, and opportunities of the socio-political environment related to capacity development objectives of the activity.
- Clearly define the design and implementation of a capacity building intervention, including monitoring of technical assistance tasks. This allows identifying the scope of the activity and distinguishing the contribution of the activity to strengthen capacities.
- After initial products or institutional documents are developed for your local partner, the activity must ensure the socialization and training of counterpart staff on each new tool to teach our counterparts how to use the tools.

## Monitoring

### Conclusions:

- Progress reports for partners are not homogeneous, since there are no common indicators or reporting formats required for all partners. This makes it difficult to monitor, measure, and compare the degree of progress that the various activities achieved.

- Monitoring systems in capacity-building interventions do not record important assumptions related to the institutional context, nor do they systematically observe the evolution and/or trends. It is reasonable to assume that, in cases of greater institutional complexity, the absence of a systematic monitoring of the environment represents a proportional risk for the activity to achieve the expected results.
- Capacity development activities are often not directly monitored in terms of expected CD results, but rather reported on as part of the achievements of the counterpart. However, focusing on the achievement of counterpart results to corroborate the effectiveness of capacity development activities assumes that there is little influence from other possible institutional or contextual determinants, which is not always the case.

Recommendations:

- To distinguish USAID's contribution towards institutional capacity development, the desired outcome of the training activity should be clearly stated up front to align the design and monitoring instruments should be developed early on. Use specific CD indicators for activities where CD is a desired outcome, at the processes, results and impact levels.

**Achievements**

Conclusions:

- In all the cases, the activities reported the satisfactory achievement of their expected results in relation to capacity development and institutional change, with documentary support and considering the current commitment and interest of the counterpart.

Recommendations:

- Ensure the formulation of clear and appropriate strategies for the institutionalization of products developed with Mission support, making effective linkages between individual and institutional levels. Specifically, include actions oriented towards the sustainability of activity achievements, in terms of institutional and personal changes in the counterpart.

# I. PURPOSE AND QUESTIONS OF THE STUDY

The **purpose of the study** is to provide the USAID team with relevant conclusions and recommendations from an analysis of capacity development interventions carried out by seven projects selected by the USAID/Peru Mission. The results of this study are intended to contribute to strategic decision-making by USAID regarding the formulation, design and implementation of future capacity development and strengthening interventions.

To achieve the intended purpose, the study defined four questions to guide research and analysis:

1. Which capacity development model or methodology was applied by the activities?

First, it was necessary to understand the model or theoretical focus and methodology for capacity building that was applied by the project; i.e. how was capacity building addressed conceptually, what were the methodological tools, capacity building components, and gender and intercultural approaches used in the project?

2. How did USAID activities implement capacity development models and methodologies?

The study sought to understand how the capacity development concepts were put into practice in terms of training activities for people and/or technical assistance at the institutional level (including the exchange of experiences) and the mechanisms for integrating these approaches.

For example, questions focused on understanding intervention strategies, such as the mechanisms to obtain institutional commitment and the involvement of interested parties, as well as whether the institutional context of the counterpart institution had been considered and/or how their baseline performance was described. It was of particular interest to know how they identified the capacity development needs of people and institutions and, consequently, determined the size and characteristics of the performance gaps to be tackled through capacity building. As a result, it was important to identify what mechanisms the project used to integrate personal capacity development with the institutional capacity development.

This approach provides an understanding of the project's intervention related to the activities involved in training individuals (workshops, courses, internships, mentoring, certifications, etc.), as well as providing technical assistance (coaching, technical meetings, tutorials, the use of information technology, follow-ups, etc.) and the organization and execution of experience exchange activities at an institutional level.

3. How were CD activity results measured and monitored?

This question requires an understanding of each activity's monitoring and assessment systems, as well as the mechanisms applied for follow-up, assessment and feedback (i.e. how this information was used). Likewise, the study looked at the indicators linked to capacity development, including those addressing gender and intercultural issues.

4. What achievements, in the CD of individuals and institutions, were achieved as a result of USAID interventions, according to the monitoring and evaluation system results?

Finally, the study documents the most important CD achievements, as well as the main obstacles and limitations that activities faced.

Identifying activities' main bottlenecks and challenges in developing capacities was as important as identifying their achievements. In this regard, it was important to document how activities reacted to obstacles that impeded or limited results. With this information, the study also sought to identify the mechanisms used to ensure the institutionalization and sustainability of the capacities developed.

## 2.CONTEXT AND BACKGROUND

In Peru, public organizations require strong management capacities at the central, regional and local levels to function effectively in a challenging socio-political and economic environment while developing intelligently in an increasingly globalized world. Indeed, a modern State at the service of its citizens should be decentralized and defined by quality public servants that efficiently and transparently manage resources, are accountable to the public, and offer effective channels for citizen participation. This modernization of public institutions, which would translate to the provision of quality services for the public as a whole, requires a clear definition of mandates, securing quality inputs (including personnel) and the optimization of internal processes. This involves a set of legal adjustments and institutional and operational modifications to make it possible to adapt the public sector to the new social, economic, political and cultural environment that contemporary society demands. The reform of the State must also include its modernization, in the sense that it must introduce public policies, processes and actions that ensure the long-term and sustained adaptation of its functions to meet society's demands.

The creation of public value results from the improvement of processes and an increase in productivity, and is focused on constantly seeking the improved functioning of public organizations to meet the needs of citizens and the population of a country. This means restructuring, simplifying administrative procedures, results-based management, improving the quality of public spending, and democratization, among other aspects of the modernization process of the State.

The reform of the State and the development of capacities in Peru is outlined in Objective IV of the National Agreement for an "Efficient, transparent and decentralized State," as well as on the Framework Law on the Modernization of State Management (Law 27678), the Decentralization Law (Law 27783, and the resulting organic laws), the Organic Law governing the Executive (Law 29158) and Legislative Decree 1026, governing the Executive Legislation powers. Complementary to these is Supreme Decree 004-2010 PCM which approves the National Plan for Capacity Development in Government Administration and Good Governance for Regional and Local Governments. Additionally, the Organization for Economic Cooperation and Development (OECD) analyzed three key areas of public administration in the country and, to improve management capacity, identified different opportunities that help improve State performance in providing policies and services for all citizens.

Geographically, the best individual and institutional capacities are found in Metropolitan Lima, where, historically, political power has been concentrated and where the decision-making centers of big business are located. Nevertheless, the nation's viability requires an improvement in institutional capacities throughout the public institutions in the rest of the country, where the remaining 70% of the population lives. To achieve this, it is vital and strategic that the country supports the ongoing decentralization process, insofar as expanding the capabilities of sub-national governments, which are now responsible for executing a significant proportion of public spending and investment.

### **USAID/Peru's contribution to the development of capacities**

The 2012-2016 United States Country Development Cooperation Strategy for Peru seeks to "strengthen stability and democracy in Peru through greater social and economic inclusion, and the reduction of illicit coca crops and illegal exploitation of natural resources"(USAID, 2012). To achieve this objective, the CDCS proposed strategies including the development and strengthening of capacities in public institutions, at every level, and encouraging public oversight by civil society.

The strategy also emphasizes activities that benefit and strengthen the capacity of traditionally marginalized populations, which include indigenous populations, women, disabled persons and young people at risk. At the same time, it deepens participation through consultations and dialogue on policies, the development of capacities and the use of the country's systems, creating alliances with the Peruvian government and other donors through the current system of sector roundtables or working groups. It will also work with the private sector to increase efficiencies and leverage resources (USAID, 2012).

The decision to develop and strengthen individual and institutional capacities in all the country's organizations necessarily requires an active guidance and follow-up of the State's modernization and decentralization processes. It is hoped, from this perspective, that a USAID intervention in the decentralized development and strengthening of capacities will have a greater impact on organizational effectiveness.

The seven activities selected by USAID/Peru (see Table 3) implement or have implemented interventions related to the development of individual and institutional capacities, as reflected in their results frameworks. The activities are heterogeneous: they have different development objectives, differentiated organizational structures and intervention strategies, different geographic implementation areas, and different resource levels.

*Table 2: Selected activities by Implementer*

Activities	Implementer	Start and End Dates	Regional areas of intervention
New Alternatives Program (NAP)	New Alternatives Venture	4/9/2013 4/8/2018	San Martín, Huánuco, Ucayali and Pasco
Amazonia Reads: Developing Capacity and Commitment	Peruvian Cayetano Heredia University	1/23/2015 1/22/2018	San Martín and Ucayali
Decentralization and Local Governance (ProDecentralization)	Tetra Tech/ARD	10/15/2012 10/14/2017	Madre de Dios, Amazonas, Loreto, San Martín and Ucayali
Promotion of Justice and Integrity in Public Administration (ProIntegridad)	Tetra Tech/DPK	2/15/2013 2/14/2016	Lima, Callao, San Martín and Amazonas
Support in Environmental Management and Forest Governance (Peru Bosques)	Chemomics International	7/8/2011 7/7/2016	Loreto, Ucayali and Madre de Dios
Peruvian Forest Industry Initiative (PFSI)	U.S. Forest Service	9/1/2011 8/31/2016	Amazonas, Loreto, Madre de Dios, San Martín and Ucayali
Conservation Initiative for Andean Amazonia II (ICAA II)	International Resources Group Ltd.	9/1/2011 12/31/2015	Andean Amazonia (Colombia, Ecuador, Peru)

The following paragraphs provide a brief description of the seven activities:

**New Alternatives Program (NAP)**, implemented by New Alternative Ventures. Its purpose is to develop the capacities of the National Commission for Development and Life without Drugs (DEVIDA) and the regional and local governments of the departments of San Martín, Huánuco and Ucayali, to finally achieve an environment conducive to alternative development and effective community participation.

**Amazonia Reads: Capacity Development and Commitment**, implemented by the Peruvian Cayetano Heredia University (UPCH). Its purpose is to strengthen educational management in the Regional Offices of San Martin and Ucayali, and thus contribute to improving the learning of reading and writing by children in the elementary grades at public schools.

**Decentralization and Local Governance Project (ProDecentralization)**, implemented by Tetra Tech/ARD. Its purpose is to improve the decentralized management of sub-national governments in order to provide more effective public services, and ultimately benefit marginalized populations (women and the indigenous population) in the departments of Amazonas, Loreto, Madre de Dios, San Martin and Ucayali.

**Promotion of Justice and Integrity in Public Administration Project (Pro-Integridad)**, implemented by Tetra Tech/DPK. Its purpose is to support reform efforts in criminal justice—in Lima, Callao, San Martin and Amazonas—in the Judiciary, the Public Prosecutor's Office, the Ministry of Justice, Public Prosecutor for Corruption, and civil organizations linked to the issue, to reduce corruption in public administration and strengthen the rule of law.

Support in **Environmental Management and Forest Governance (Peru Bosques)**, implemented by Chemonics International. Its purpose is to support the regional governments of Loreto, Ucayali and Madre de Dios to improve forest governance and management of the environment within the framework of complying with the Free Trade Agreement.

**Peruvian Forest Sector Initiative (PFSI)**, implemented by the U.S. Forest Service (USFS). Its purpose is to develop forest governance, forest management, and information management capacities to in compliance with the Forest Governance Appendix of the Free Trade Agreement. The scope of the intervention included the departments of Amazonas, Loreto, Madre de Dios, San Martin and Ucayali, and national policies.

**Conservation Initiative for Andean Amazonia II (ICAA II)**, implemented by a consortium led by International Resources Group, through its Support Unit. Its purpose is to reduce deforestation and the loss of biodiversity, achieve the efficient functioning in the governance of natural resources, as well as greater quality and sustainability in livelihoods, to encourage and strengthen the conservation of Andean Amazonia (Colombia, Ecuador and Peru).

# 3. CONCEPTUAL AND ANALYTICAL FRAMEWORK

The (pre) existence of capacities, to differing degrees, is recognized as existing in institutions and individuals, which reflects the academic and international development community having moved on from the discussion that established a need to “create capacities” (exogenously) where they are considered to be “lacking.”

An effective capacity development process must apply a systemic, comprehensive and holistic focus that develops capacities in institutions and in people (empowerment). In general, the development of capacities is seen as the result of factors that facilitate a favorable environment, and thus the success of capacity development will depend on the degree of alignment of different environmental factors. The environment refers to the social system in which the organizations and people operate, and thus includes all the rules, laws, policies, power relationships and social norms that regulate their interaction.

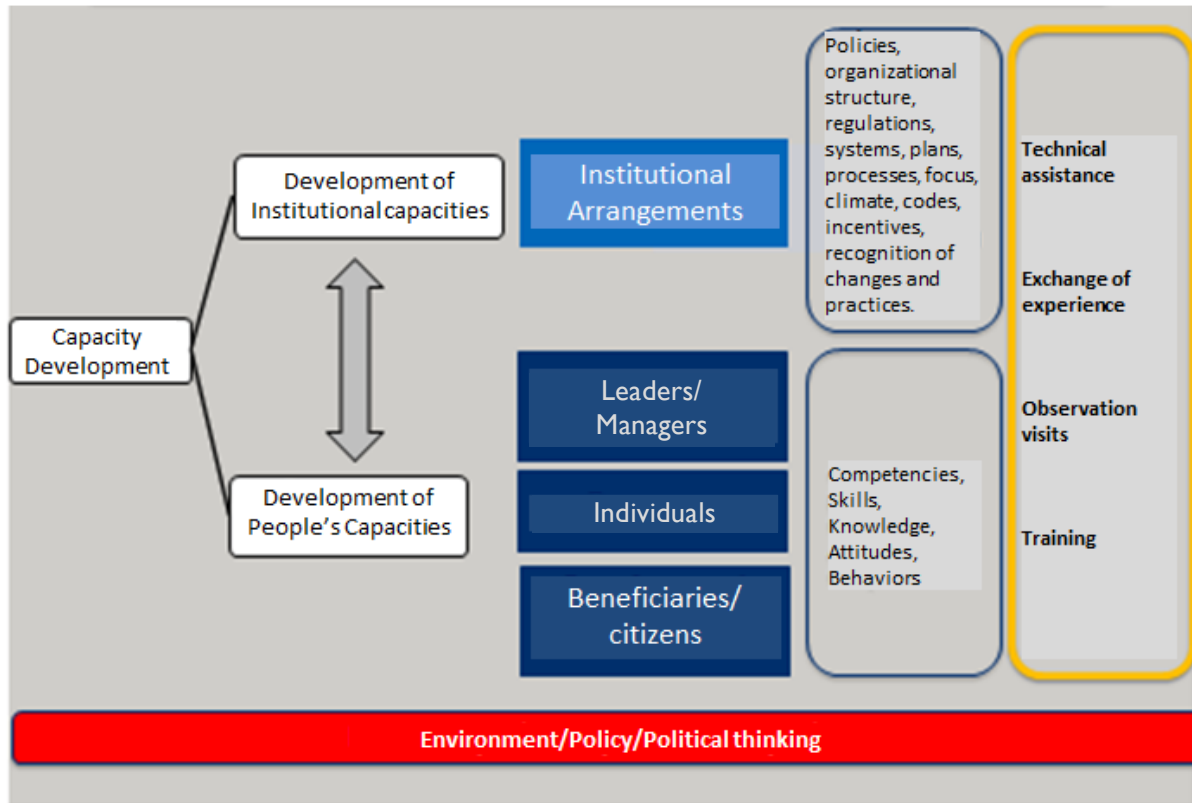
## **Model for the Development of Institutional and Individual Capacities**

Capacity development activities only have an effect and impact in a specific work situation, as proposed by the Human and Institutional Capacity Development (HICD). Thus, the development of capacities in institutions must address the institutional arrangements, i.e. the policies, practices and systems that allow the organization to operate effectively. Individual capacity development must involve managers and leaders, employees, beneficiaries and citizens, by strengthening and improving their competencies, skills, knowledge, attitudes and behaviors. Achieving this requires the implementation of interventions that contribute to improved organizational performance, such as technical assistance, the experiential exchanges, and training. Policies, political issues and the organizational environment have a cross-cutting influence on capacity development (see Figure 1).

If results are to be achieved in institutions through capacity development activities involving individuals, these activities should be conceived of and designed with those involved within the framework of the institution’s policies and priorities. It should be noted that an activity focused on developing individual capacities can be a positive personal experience, but will not necessarily bring about the targeted results at the institutional level. From the institutional perspective, ensuring that resources are available to finance activities focused on developing the capacities of managers and/or employees often requires significant effort, but it does not necessarily result in the expected improvements and subsequent changes within the institution.

Attaining effective capacity development in institutions requires, for example, that the personal interests of the participating individuals are effectively aligned with institutional expectations to ensure that the knowledge acquired in those activities is applied in practice. In fact, according to Kirkpatrick (2006), the results of training are likely to be capitalized by an institution if the training activities can be put to practice on the job, based on an individual’s prior performance, learning or conduct. Therefore, the effectiveness of a training activity should be analyzed in relation to organizational objectives and based on the objectively verifiable measurement of the effective and sustainable performance of the person who is being trained.

Figure 1: Approach for the Development of Institutional and Individual Capacities



Source: Adapted from the Evaluations Project.

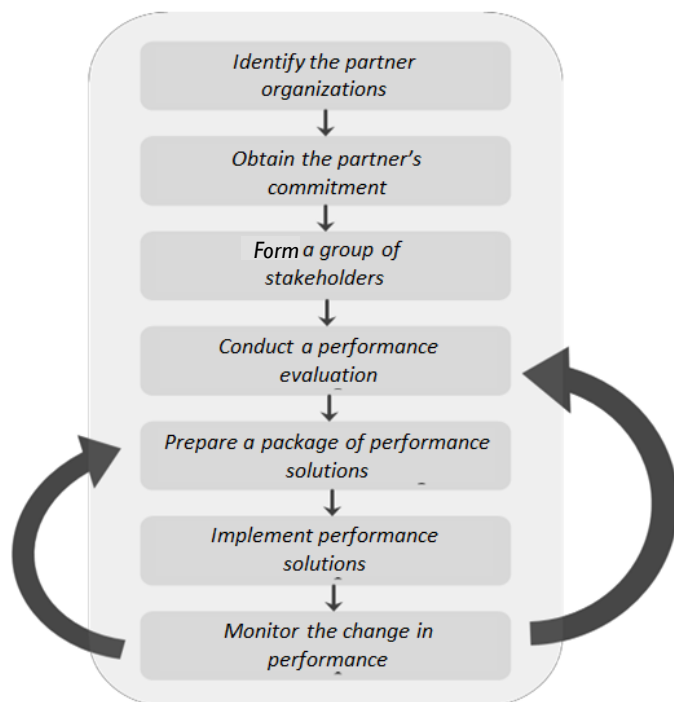
In terms of this study's approach for the seven case studies, the HICD model provides the framework for an analysis of capacity development that has the final objective of improving institutional performance. The HICD is based on organizational capacity development needs and is focused on the systems required to achieve targeted performance. It provides information on the evolution of each process, serves as a guide for the implementation of these processes, and provides capacity development tools.

The model goes beyond a focus on the results of the activities for training individuals linked to the organization by including a comprehensive study of the institution's capacity development activities. This comprehensive focus leads to an analysis of the case study from a political viewpoint, in the sense that the conclusions and recommendations that arise contemplate not only the institutions capacity development, but also the immediate environment (the public domain) in order to guide the design of strong improvement policies.

The HICD has seven structured and integrated steps that, initially, guide the identification of partner organizations, secure their commitment, and the formation a stakeholder group. The process then includes the measurement or assessment of organizational performance, and the preparation and implementation of solutions as well as the continuous monitoring of the change process (see Figure 2).

The case studies reflect these steps. The study focuses on two areas: (i) the level of development of institutional capacities, based on the verification of institutional arrangements<sup>2</sup>, and (ii) the level of improvement in individual competencies, considering the managers and employees of the organization as well as the eventual estimation of the effects on the public or beneficiary population.

Figure 2: Capacity Development Model



Source: USAID 2010

### Model for Improved Performance

Within the HICD framework, the Improved Performance model was chosen as a complementary tool because it provides a systematic process for studying an organization according to the change-transformation-performance improvement sequence (see Figure 3).

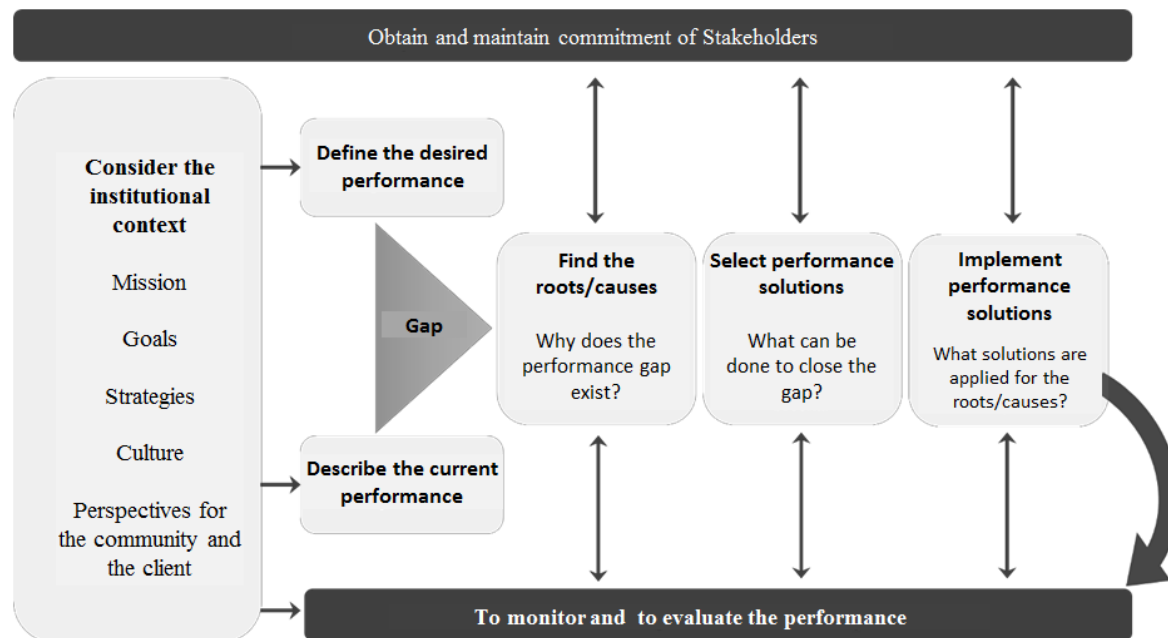
According to this model, the design of each activity should consider the institutional context, i.e. it should examine the system in which the institution operates, its mission, goals, strategies and policies, the structure and the culture of the organization. The assessment considers what each activity identified as the desired performance compared with the real performance, in order to determine the magnitude and characteristics of the performance gap. Then each case considers what each activity documented as the causes for performance gaps, and what performance improvement solutions were defined and implemented. considers what were developed by each of the projects. The assessment analyzes what each the projects developed in terms of monitoring actions to facilitate the cyclical processes of

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<sup>2</sup> In a broad sense, this includes the formulation and implementation of policies, the functionality of an organizational structure, the establishment and observance of rules, the efficient design of systems, plans and processes, the consistency in approaches, the existence of a favorable organizational climate, the establishment of codes and incentives, as well as the recognition of change and good practices.

continually improving performance, including the reassessment of performance gaps, confirming the effect of the capacity development solutions, and implementing new solutions according to the new situation.

Figure 3: Performance Improvement Model



Source: USAID 2010

The study uses the following key concepts that are applied in the capacity development process:

**Capacity Development (CD):** Three definitions for CD exhibit similarities. For example, for USAID “they are the approaches, strategies or methodologies —used by USAID and its allies— to change, transform and improve performance at the individual, organizational, sector level or the broader level of the system”<sup>3</sup> (USAID, 2014). For the Organization for Economic Cooperation and Development (OECD)/Development Aid Committee (2010), they are “the processes by which people, organizations and society as a whole encourage, strengthen, create, adapt and maintain capacity over time.” For the United Nations Development Programme (UNDP, 2008), it is “the process by which people, organizations and society obtain, strengthen and maintain the necessary competencies to establish and attain their own development objectives over time.”

**Capacity level:** The above definitions show there are capacities for individual people, for organizations/institutions, and in the institutional environment.

**Competencies:** Individual abilities that translate into visible behaviors for successful job performance. They involve the set of knowledge, skills and attitudes that, together, represent a differentiating performance factor within an organization and a specific context.

**Technical assistance:** specialized technical guidance to the individuals and teams being advised, characterized by the execution of support interventions in the teaching-learning process being

<sup>3</sup> Official Translation

developed linked directly to a specific aspect or operation of job performance. It can be linked to the training or carried out directly at the request of the interested party.

*Training:* The process seeks to improve the individual (employee) performance by closing performance gaps or developing competencies or expertise. Training should be aligned with job profiles and/or the strategic objectives of the entity. (Adapted from the National Authority of Civil Service, SERVIR.)

*Certificate or specialization program* is a teaching-learning strategy that includes a group of courses or modules organized around a specific theme in order to acquire or develop practical-theoretical knowledge, which should include a total of 24 credits, according to Article 43 of the University Act (Law 30220).

*Experience exchange* is an activity that makes it possible to demonstrate and share information, processes, results and/or achievements, and can be conducted via guided visits to “model” institutions or at events where the corresponding experiences are presented.<sup>4</sup>

*Internship* is a practical activity of an academic, research or professional nature that is carried out by a worker from another public or private institution, within the country or abroad, in order to gain experience and/or deepen the expertise necessary to develop their skills. This activity is supervised by personnel specifically assigned to the task, within the entity where the internship is being carried out. (Adapted from SERVIR)

A *technical meeting* is a meeting in which opinion leaders, experts, specialists or people with common interests review, analyze, debate, improve and/or make decisions regarding a concrete agenda, topic and/or document.

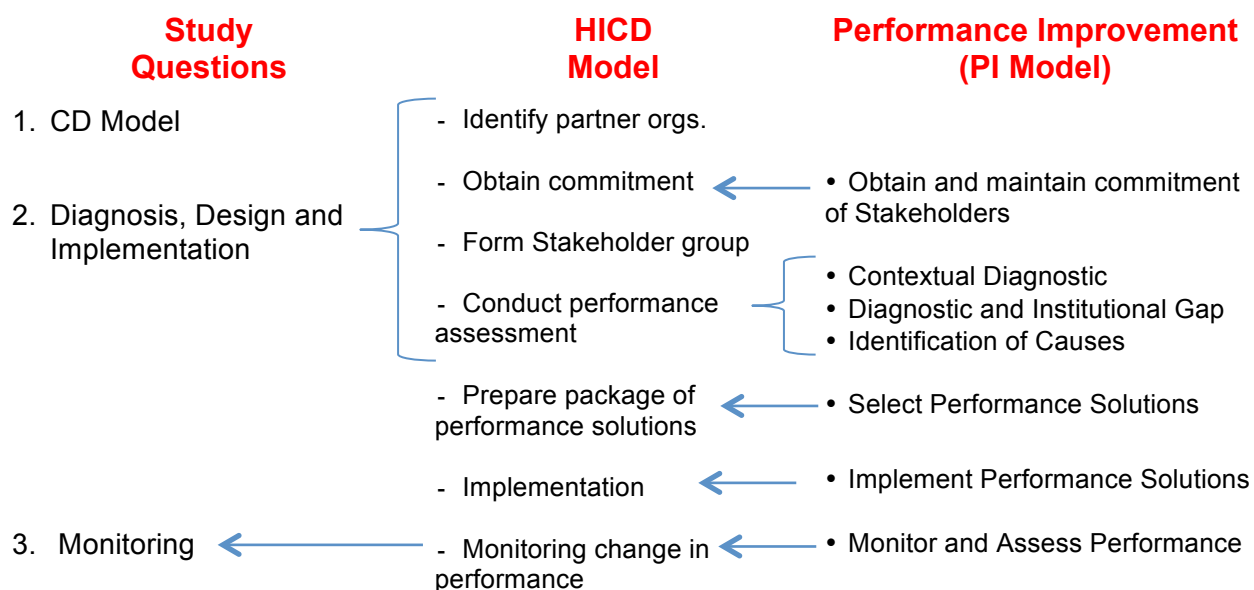
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<sup>4</sup> Adapted from the Supreme Decree that approves the National Plan for Development of Capacities for Public Management and Good Governance in Regional and Local Governments. DS 004-2010- PCM

# 4.METHODOLOGY

To guide the analysis of the experiences that have been directly linked to the development of capacities in the selected projects, the study established research questions. These questions address different aspects of the capacity development model and methodology employed by each activity, the implementation process, the specific monitoring of the process and progress and, lastly, the reported achievements. Each question takes into account the steps of the HICD model and the performance improvement process, as reflected in Figure 4.

Figure 4: Methodological Route for Case Studies



The questions asked, regarding the seven specific cases, should find satisfactory answers in the documentary analysis, complemented with interviews with relevant informants. The methodology proposed puts the burden of this study on the documentation generated by the selected projects. The complementary interviews carried out should clarify and provide detail some aspects of the reported activities.

The case study is not an assessment of the design and implementation of the projects, rather, it is an analysis of a concrete and detailed capacity development experience at the level of institutions and/or individuals. The decision regarding which cases to study was made with the USAID/Peru team based on an understanding of the key features of each project.

## Case Studies

The study used the case study as a methodological approach. The case study methodology provides the opportunity to carry out a comprehensive and in-depth consideration of projects that develop capacities in different intervention areas and with varying intensity. The case study provides a method for learning about a complex situation by developing a comprehensive understanding of that situation. This understanding is achieved with an in-depth description and analysis of the situation, which is treated as a system within a certain context.

The method utilized for this study is ad hoc, but guided by the steps proposed by the Inter-American Development Bank (IDB, 2011) for preparing study cases, including: the design of the case, collection and analysis of information, development of the report, and dissemination and re-use. The IDB model was designed as a tool to generate information on experiences to help organizations work on systematic and collective reflections and identify lessons learned. By using qualitative more than quantitative information, the process to prepare the report not only defines the purpose of the case study but also suggests questions for reflection, which one hopes will be answered on the basis of relevant information collected on the subject of analysis.

As a result, the study methodology uses principally explanatory and qualitative elements to develop in-depth analyses of the capacity development interventions from the selected USAID activities. The methodology includes an analytical matrix including all of the questions and specific study variables for the seven cases. This matrix guided an analysis of each of the experiences (see Appendix 2) that provided conclusions related to the study questions.

### Document Review

While all of the selected projects include capacity development interventions, these are not necessarily the primary purpose of the activities. In some projects, with a different specific weight, the development of capacities is an explicit line of action, while in others it is part of a cross-section aspect of the activities.

The team used the ATLAS.ti information tool to systematize and organize qualitative information, resulting in memos that contain the conclusions presented in this report. The team systematically reviewed project documents for all of the activity interventions, not just the specific case studies. This provide context that helped define the scale and role of each case. Appendix 5 presents a detailed list of the documentation produced through September 2016, and Table 4 presents a summary of the same.

*Table 3: Type of Documents Reviewed by the Project*

Documents	NAP	Amazonia Reads	ProDes	Pro Integridad	Peru Bosques	PFSI	ICAA II
Project Description	x	x	x	x	x	x	
Annual work plans	x	x	x	x	x	x	
Monitoring & Assessment Plan	x	x	x	x	x	x	
Annual reports	x	x	x	x	x	x	
Quarterly reports	x	x	x	x	x	x	
Final report				x			x
Evaluation report			x		x	x	x
Capacity Development Plan			x		x		
Capacity Development Assessment			x				
Capacity Development report	x	x	x	x	x	x	x
Gender-related documents			x				x
Documents on systematization	x	x	x				x
Other documents	x		x	x	x	x	x

## Semi-structured interviews

The analysis of projects' documentation regarding their capacity development experience was complemented by the triangulation of qualitative information obtained in key informant interviews. These were taken into account from the start, insofar as it was correctly assumed that project documents would not always be able to provide specific and detailed information on issues of interest. The triangulation sought to contrast findings made while reviewing the documentation with primary information provided by the interviewees. Likewise, the interviews served to identify new information regarding questions that were not fully answered in the document review.

With regard to the selection of key informants, the team sought to interview USAID Contract Officer's Representatives (COR) for each project, as well as the project directors responsible for their implementation. We also interviewed the people responsible for capacity development and monitoring and evaluation officers, the officials involved from the counterpart institutions, as well as other officials and beneficiaries. Using semi-structured questionnaires, the team interviewed key informants in Lima — where the intervention policies are defined— as well as in the cities of Pucallpa, Iquitos, Tarapoto, Tingo Maria and Moyobamba— where the capacity development activities are carried out (see Table 5). The list of persons interviewed between January 5 and February 8, 2017 can be found in Appendix 4.

*Table 4: Number of Persons Interviewed by Project and Location*

Projects	USAID*	Lima	Moyobamba /Tarapoto	Pucallpa	Tingo Maria	Iquitos	Total
NAP	1	2			3		6
Amazonia Reads	1	3	7				11
Pro Decentralization	1	3	13				17
Pro-Integridad	1	2	4				7
Peru Bosques	2	1		5			8
PFSI	2	3				7	12
ICAA II	1	3		7			11
<b>Total</b>	<b>9</b>	<b>17</b>	<b>24</b>	<b>12</b>	<b>3**</b>	<b>7</b>	<b>72</b>

\* Interviews carried out between November 16 and December 1, 2016.

\*\*Interview by Skype, due to difficulties in air and land access to the area due to bad weather.

The number of people interviewed is different in each project, in relation to the number of institutions covered in each case, the need for complementary information, and access to geographical areas. This has not influenced the analysis of the results, since the interviews were made essentially to complement the information already obtained in the document review, the principal source for the study.

# 5. SEVEN CASES OF CAPACITY DEVELOPMENT

## 5.1. Contributing to the Strengthening of a Life without Drugs in the Monzón Valley

Historically, the Monzón Valley has been an isolated area with concentrated production of illegal coca leaf crops. In the face of coca crop eradication, the start of the New Alternatives Program (NAP) marked a change in perspective towards the implementation of alternative development interventions.

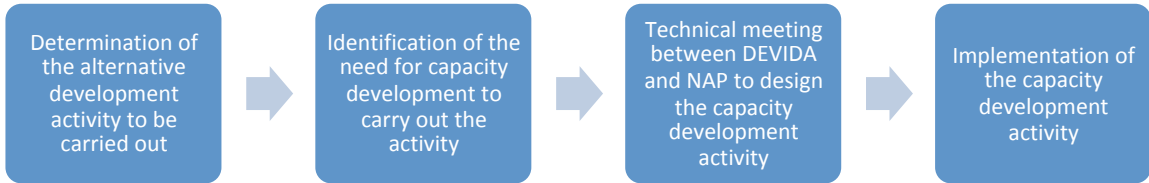
This case focuses on the Monzón Valley and is part of the NAP Project, whose principal objective is to “support sustainable development of Peruvian institutions and communities that have made a commitment to legal lifestyles.” The case is related to the Intermediate Result 1.4 of the project: “Efficient government organizations support the licit development in transition communities, specifically the National Commission for Development and Life without Drugs (DEVIDA).”

### Model and methodology

With the purpose of strengthening DEVIDA as an institution, the project applied a methodology of functional response and, in answer to a demand from the counterpart, centered on the development of institutional capacities through capacity development in individual people. This methodology was designed by both parts. DEVIDA first determined the scope of its technical activities in alternative development, and then identified the need for capacity development linked to each activity, and followed up with a technical meeting to jointly define the capacity development actions that would later be implemented (see Figure 5).

The project has contributed to the development of capacities in DEVIDA with ad hoc support activities, including the participation of women in their activities, as well as the promotion of women’s participation and leadership in their communities. To implement this, the project changed its convocation strategy, adopting an open invitation for community participation, and particularly seeking out young people and women.

Figure 5: Methodology for Functional Response to the Need for Capacity Development



Source: Interview with the managers of the NAP project. Prepared by the authors

## Implementation

The project carried out capacity development activities at DEVIDA in a smooth and cooperative manner, establishing a bridge through the commitment of the senior management<sup>5</sup>. Later, stakeholder groups committed to the objective of promoting alternative development were set up with representatives of the population in the intervention areas, as well as with the local governments, which became key partners for the later entry and sustainability of the project in post-eradication areas.

NAP identified capacity development needs as they began to arise in DEVIDA during the development of alternative development post-eradication activities. The focus was placed on the socialization, association and community management components, which were key issues during the initiation of the program in intervention areas.

With regard to the relationship between the activity and DEVIDA, this changed over the implementation period as DEVIDA's leadership strengthened and progressively took on the functions of the alternative development process. This was achieved through a joint effort in the intervention areas and the prior implementation experience of the NAP managers.

The NAP team supported DEVIDA in three capacity strengthening areas:

- Strengthening of the organization and of strategic capacities (2013-2015)
- Strengthening of leadership in the socialization process (2013-2015)
- Horizontal strengthening in management (2016-2017)

A package of solutions was put together, based on these three areas, which included training activities and technical assistance. Other training themes were related to socialization, strengthening community management, administration, and the responsible use of natural resources.

An example of this work is the training provided in the effective use of the Post-eradication Information System (SISPOST), which is the information system used to monitor post-eradication performance results in the intervention areas. The training would begin with a meeting of the DEVIDA technical team, whose members were connected online throughout the course. After assigning user names and passwords, a project manager carried out the training and later provided personalized technical assistance and coaching to each member of the technical team. The training included strengthening skills through practical exercises, which were corrected, and resolving doubts and questions regarding the system by demonstrating the system's advances while addressing the learning needs of each participant. Ninety percent of the DEVIDA team members working in the field use SISPOST as a reference and supervision tool.

At the same time, the main support interventions centered on the following:

- Systematization of the processes of socialization, association, and communal management.
- Preparation of manuals on the cultivation of cacao, coffee, environmental mitigation, and social facilitation and intervention.
- Completion of the plan for strengthening associativity in intervention areas.

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<sup>5</sup> The DEVIDA team values the fact that the project has joined the Peruvian State's efforts, designing and implementing joint interventions based on lessons learned, a shared operations plan, and the understanding that the work is with "people" and not based on "cold targets."

According to DEVIDA managers, the systematization of the processes was achieved by the joint production of the fieldwork manuals with NAP. The systematized processes were later transferred to the DEVIDA activity managers through these manuals.

Initially the strategy was developed for the communal organization, planning and management activities; this analysis led to a matrix used to guide the social facilitation training and determined the way in which a community should be approached to promote alternative development. Manuals and instruction booklets<sup>6</sup> were produced to guide the first contact with families, to maintain a relationship (socialization) with families that participated in alternative development, and how to plan and install licit agricultural alternatives to coca, such as cacao and coffee. Manuals were also produced on how to maintain these crops and care for the environment.

The assessment of these technical assistance activities was made by rating the utility of the manuals in supporting the achievement of fieldwork objectives.

Interviews provided evidence of the link between capacities developed at an individual level and the capacities developed by the institution. The periodic technical meetings of the NAP team with DEVIDA managers and specialists played an important role in this. In these meetings, participants discussed the principal challenges and difficulties arising in the implementation of alternative development activities, identified the specific capacities that should be developed and, consequently, designed and implemented interventions to mitigate and solve those problems.

### **Follow-up**

Monitoring of the project's solutions package was initially done by measuring progress against objectives on a quarterly basis. From the second year onwards, it was based on a Monitoring and Evaluation Plan (M&E plan).

The project's principal indicator is DEVIDA's Transition Leadership and Management Index, which measures the institutional development of capacities based on 12 components of the project's leadership and transferal — socialization, communal management, production activities, environment, association, access to credit, communications, gender issues, operational management, planning, SISPOST and monitoring — which are directly related to DEVIDA's ability to implement the alternative development interventions. Information from SISPOST, surveys, DEVIDA files and NAP reports is used to calculate this index.

The index is divided into three components in the form of ratios:

- Component 2: Ratio NAP/DEVIDA of personnel implementing activities to support communities in transitioning to licit lifestyles.
- Component 2: Ratio NAP/DEVIDA in financing activities to support communities in transitioning to licit lifestyles.

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<sup>6</sup> The instruction booklets are support material for transferring capacities, produced by DEVIDA and the local governments with the project's support. Two validations are made before the booklets are used: (1) by the technical team, and (2) by the users, to guarantee they understand and can apply the information. These actions seek the sustainability in the use of the materials.

- Component 3: Complete systematization of the transition processes. Based on each component of the project, if this has achieved the objectives set out per year, the ratio “1” is added to the numerator for each transition process that is systematized and, as the denominator, “12” (equivalent to the total number of transition processes to be systematized).

The project’s results are reported in monthly bulletins, which summarize the main news related to the alternative development in the intervention areas, including the activities on capacity development in DEVIDA.

### Achievements

The indicator for the case study is DEVIDA’s Index on Transition Leadership and Management. According to a May 2015 report, at the Tingo Maria office, the results showed the greatest progress in the components of Socialization, Production Activities and Planning, reaching a leadership level of 72%, 71% and 62%, respectively (see Table 6). The Gender component is the second lowest, after Access to Credit. A lesson learned is that gender should be a cross-sectional component that allows for integrated actions.

*Table 5: Percentage of Adoption of Leadership in Post-eradication Program*

COMPONENT	% Adoption of Leadership	Devida Offices		
		OZ Tingo Maria	OZ Aguaytía	OZ Tarapoto
1. Socialization	68%	72%	75%	75%
2. Community Management	45%	44%	50%	45%
3. Production Activities	72%	71%	75%	81%
4. Environment	51%	45%	60%	58%
5. Association	34%	30%	50%	50%
6. Access to Credit	3%	2%	5%	5%
7. Communications	37%	40%	50%	23%
8. Gender	27%	27%	30%	20%
9. Operational Management	59%	57%	60%	60%
10. Planning	63%	62%	60%	70%
11. SISPOST	48%	53%	60%	40%
12. Monitoring	43%	40%	50%	40%

Source: NAP Project. May 2015

DEVIDA’s leadership on these issues is confirmed with the availability of the communication products they have prepared<sup>7</sup> and the environmental responsibility taken on by families now focused on alternative development in the intervention areas.

With NAP’s support, DEVIDA strengthened its institutional capacities, increasing its effectiveness in executing alternative development activities in the Monzón Valley. To achieve this, a functional response methodology was applied, designed jointly, that consisted in identifying the needs and solutions — technical assistance and training— to develop capacities based on specific demands by DEVIDA. In the

<sup>7</sup> Example: coffee and cacao instruction booklets.

view of NAP managers at the Tingo Maria office, the entry into the Monzón Valley, once a space dedicated to illegal coca crops, without State presence and dominated by drug traffic, has been the best success indicator in DEVIDA’s intervention and its new alternative development strategy.

## 5.2. Innovation to Improve the Learning of Reading and Writing in San Martin

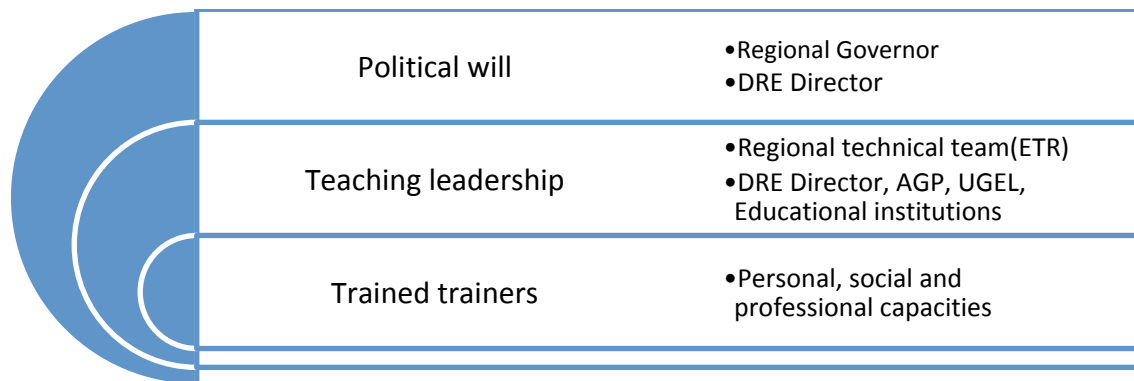
This case is part of the project Amazon Reads: Developing Capacity and Commitment. The activity’s purpose is to strengthen the management of education services at the Regional Education Offices (DRE) in San Martin and Ucayali and, thereby, improve the learning of reading and writing in elementary grades. The project proposes four results (R): R1: Strengthened capacity for institutional and educational management; R2: Institutionalized system to evaluate the learning process; R3: Strengthened capacity of specialists to supervise the community learning process and manage schools; and R4: A functioning system for the recognition of good teaching practices.

The case includes the implementation of the program Training of Trainers of Teachers and Regional Education Specialists (an R1 activity), the Learning Assessment System (R2) and the System for Recognition of Good Teaching Practices (R4) at the DRE in the Regional Government of San Martin (GOESAM).

### Model and methodology

The capacity development model is mainly focused on the development of individuals with the objective of improving the quality of education<sup>8</sup>. The model included the following activities (see Figure 6): the political will of the regional governor and regional director of the DRE, the practice of teaching leadership by the Regional Technical Team (ETR) of the Teaching is Leading project in leading the proposal, and the establishment of teacher trainers with personal, professional and social competencies.

Figure 6: Model of Capacity Development to Improve the Quality of Education



Source: Interview with the Project director. Prepared by the authors.

At the same time, the project sought to implement a gender focus to provide both girls and boys with equal opportunities. To accomplish this, the project incorporated a gender perspective in syllabi, in the production of texts, and in the training of teachers, directors and specialists.

<sup>8</sup> The project also foresees results related to the development of institutional capacities through the Assessment system of Learning Processes and the System for Recognition of Good Teaching Practices.

## Implementation

The project implemented interventions to sensitize regional government officials, DRE managers, teachers, directors and parents to the importance of reading and writing, the assessment of learning processes and the focus on gender. According to the head of the project, once initiated “...we have been working systematically to motivate and inform authorities” with the objective of securing the political commitment of the GORESAM authorities.

For the development of capacities, the project formed a group of stakeholders who were participating in the Regional Technical Meetings. Among the leading participants were the DRE director, the regional technical team (ETR) in charge of implementing the Teaching is Leading project (PEEL), the regional manager of Social Development, the director of the Teaching Management Area (AGP), and the director of the Institutional Development Area. The formation of this group was not formalized with an official document from the DRE, but this did not limit its operation.

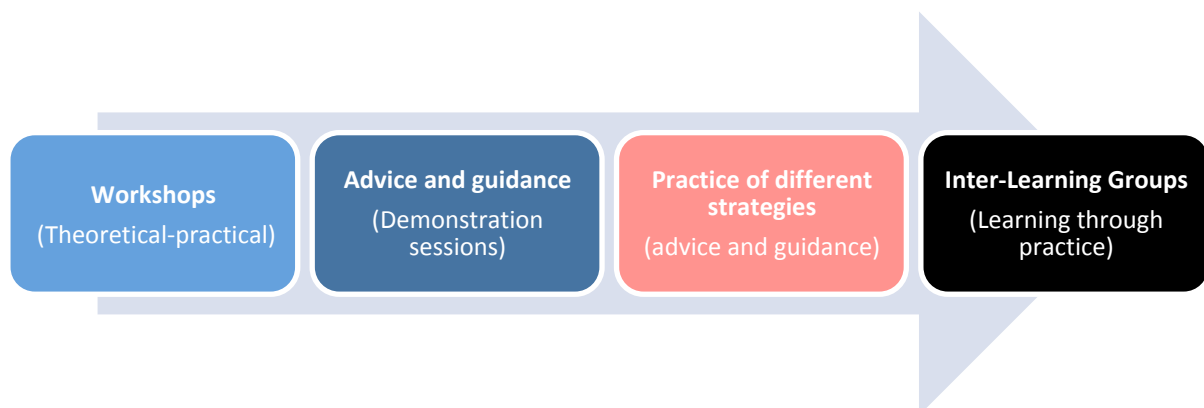
The implementation of the Training the Teacher Trainers program, as well as the Recognition of Good Teaching Practices system and the Evaluation of Learning Processes system were coordinated on two levels:

1. A strategic level with the Regional Technical Meetings, where proposals were made and where the focus to use for each of the project systems was determined (the vision), where progress was monitored and agreements made regarding actions needed to facilitate this progress; and,
2. An operational level with the Regional Technical Team (ETR), which managed planning, logistics, and the review and elaboration of instruments.

Both work levels allowed the ETR to take on the collective responsibility of all the actors involved in educational leadership.

An assessment of baseline performance was carried out for the Training the Teacher Trainers program. Written tests were taken on the knowledge of the management of reading and writing, training teachers, and teaching beliefs. Parallel to this, individualized information was recorded in the first trainers workshop on the performance of each trainer and other training strategies.

*Figure 7: Strategies of the Training the Teacher Trainers Program*



Source: Training the Teacher Trainers Program. Prepared by the authors

With regard to the preparation of the solutions package, the training program and the training materials were designed on the basis of the experience of the Andean Center for Excellence in Teacher Training led by the Peruvian Cayetano Heredia University (UPCH). Both the program and materials incorporate a teaching proposal based on a balanced approach to the teaching and learning of reading and writing.

This approach focuses on learning through communicative interactions and establishes the learning of the five reading skills as a fundamental process: fluidity, developing comprehension of the texts, vocabulary, developing phonological awareness, and recognizing the phoneme-grapheme relationship (phonetics).

The program applied the approach of “from theoretical understanding to practice” through training activities and technical assistance as well as training strategies (see Figure 7). These are detailed as follows:

- *Physical presence workshops, which addressed* theoretical framework of the methodology for learning reading and writing, as well as the strategies and activities used to train teachers. According to several interviews, this is the most valuable activity of the program:  
*“These have been workshops for analysis and reflection on the strategies. They modules have been very useful for us, because they have allowed us to reflect and relate them with practice - how things are in the classroom and what relationship this has with what theory says.”* (Teacher trainer from the San Martín DRE - 2017).
- *TA and coaching of specialized practice*, which consisted of holding observation and demonstration sessions, in which an expert trainer and a specialist showed how they applied what had been developed in workshops with teachers; this culminated in an analysis of the teaching and learning. The strategy was highlighted by the ETR as a project innovation to improve learning.
- *Applying the different strategies – TA and coaching* - the project specialist accompanied or visited the PEEL specialist to provide TA at select times; for example, when planning, designing, executing and evaluating their teacher training practice. These advisory and coaching sessions provided fundamental support for the trainers to effectively implement the training and pedagogical strategies.
- *Inter-learning groups* provided opportunities for specialists to learn from each other based on their practice and the sharing of their challenges, doubts, knowledge and solutions, among others.

The first three strategies progressed from a theoretical understanding to the application of this theory, while the inter-learning groups invited reflection on the application of these strategies.

The Recognition of Good Teaching Practices System (SRBPD) and the Evaluation of Learning Evaluation System (SEA) were incorporated as part of the project’s re-design to contribute to its integration and compatibility with the PEEL managed by the San Martín DRE. These two systems were aimed at strengthening the institutional capacities of the San Martín DRE.

The SRBPD is an operation aimed at promoting the identification, recognition and dissemination of good teaching practices. The project’s role was focused on providing technical assistance to the ETR, which began with assistance for creating a road map and schedule of activities, and continued supporting the system design, plan implementation, preparation and presentation of the technical proposal, as well as consultation and reaching consensus with the ETR. Teacher trainers were also trained in the identification of high performance teaching and in recording teaching experiences to support the identification and documentation of good reading and writing teaching practices in the classroom. The ETR selected winning best practices reports with the technical assistance from the project, with the best experiences receiving awards and incentives. The ETR disseminated these results through graphic and audiovisual material, with support from SRBPD to disseminate results through media outlets as a way to promote social recognition of selected teachers.

The project also offered technical assistance to the ETR of the PEEL for the implementation of the Apprenticeship Assessment System (SEA). Support focused mainly on the applications and training workshops:

- Technical assistance for the application process: the project advised the ETR on detailed planning for the distribution, application and collection of the tests; it reviewed the database, protocols and manuals to ensure proper applications and corrections; and it followed up with applicants through e-mail and mobile telephone.
- Training workshops: the ETR was trained to be able to design and validate instruments, which would allow it not only to administer tests, but also to generate its own instruments.

Another activity strategy was the exchange of experiences. The activity facilitated an exchange between the regional technical teams and the teacher trainers of San Martín and Ucayali, both USAID intervention areas, with the objective of strengthening officials while consolidating the regional technical teams of both DREs and the teacher trainers. In the implementation of this activity, the project work plan included daily observation of the trainers' work; and later, meetings to exchange opinions and reflect on what had been observed. In the case of San Martín, the ETR and the teacher trainers committed to contributing to the boards of directors they met in the Ucayali Region.

The project has carried out its operations through coordination and direct collaboration with the ETR and the PEEL, and it worked with the San Martín DRE to define the last year's activities in order to institutionalize advances and generate mechanisms promoting their sustainability.

### **Follow-Up**

To measure the activity's impact on the target population (students), the project defined an indicator of learning achievement as well as an indicator for educational management capacities. The activity also established performance indicators for the measurement of individual capacity and developed instruments for their calculation (see Table 7).

In order to determine the achievements of the Train the Teacher Trainers program, two indicators were used: one to establish the percentage of trainers who are certified by the program and another to identify the percentage of teachers who improve their performance in the classroom as a consequence of the technical assistance and training provided by the trainers. The first indicator is calculated using knowledge tests and the trainer's monitoring sheet.<sup>9</sup> The second indicator is calculated using trainer performance evaluations, which measure the following: student learning status, evaluation, teaching oral and written communication, and differentiated attention. This instrument is applied by each trainer during classroom guidance and counseling visits.

Monitoring of the trainers' performance made it possible to offer differentiated attention to trainers with a lower performance, either by increasing the number of demonstrations or of advisory sessions. In addition, the project incorporate adjustments to the training program by asking the trainers to evaluate training strategies, which allowed them to address shortcomings and include contents according to evaluation results.

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<sup>9</sup> Knowledge evaluation is applied during the training workshops; in 2015, there were three such workshops, while monitoring files are applied during trainer guidance, noting that in that year, monitoring was carried out in eight visits.

The progress institutionalizing the SEA and SRBPD is schedule for the last year of the project. The accomplishment of this institutionalization will depend on the increased capacity of selected officials and specialists to design and implement a SEA and a regional SRBPD.

*Table 7: Indicators used by the Project*

Level	Purpose	Case Activity	Indicator	Data Collection Instrument
Impact	Contribute to the improvement of reading and writing in the first grades in the field of operation of the PEEL	----	Percentage of students who achieve a level of proficiency in learning to read, in the sample of schools selected for the operation.	Knowledge tests
Purpose	Develop educational management capacities of the San Martín DRE to improve the learning of reading and writing in the first grades.	----	Percentage of selected officials who achieve an increase in their capacities for the design and implementation of training strategies for the improvement of learning.	Knowledge tests
Results	RI Strengthened educational and institutional management.	Training of teacher trainers program	Percentage of DRE trainers who achieve certification in the training program.	Knowledge tests Trainer monitoring file
			Percentage of selected coaches who achieve a satisfactory level in their classroom performance 10	Classroom performance evaluation sheet (Rubric)
	R2. Institutionalized learning assessment system (SEA)	SEA	Percentage of selected officials who increase their ability to design and implement a regional SEA.	Self-evaluation and evaluation tests for officials
	R4 System for recognition of Good Teaching Practices (SRBPD) in use.	SRBPD	Percentage of specialists who increase their ability to design and implement the regional SRBPD.	

Source: documentary review and interviews. Prepared by the authors.

<sup>10</sup> According to the person in charge of the project's monitoring and evaluation, this indicator would be removed from the Monitoring and Assessment Plan according to the initial observations made by USAID.

## Achievements

At the end of 2016, the project reported that “thanks to direct meetings with GORESAM officials, these actors were sensitized to and valued the project's achievements, publicly expressing their willingness to continue with them”.

In relation to the Train the Teacher Trainers program, the 2015 annual report highlighted an 83% performance improvement among teacher trainers; the majority went from the Scale B (50 to 74 points) to Scale A (75 to 96 points).

Furthermore, it was reported that the SEA is making progress in the strengthening of the ETR capabilities for independent and autonomous system management. For the SRBPD, a technical norm has been issued for the identification, selection and recognition of good practices.

The activity expects to attain sustainability and institutionalization through its incorporation by the San Martín Regional Educational Project. To this end, joint activities are being carried out with the ProDescentralización technical team. Moreover, the materials produced by the program would make it possible for new trainers to implement the project's pedagogical proposal in the future. For this reason, the UPOCH and USAID are working with the Ministry of Education to explore the possibility of the activity materials to be adopted for institutional use in the Peruvian Amazon.

In conclusion, in this case, the Train the Teacher Trainers program is aimed at developing individuals' capacities by combining theoretical understanding with practice. This approach has generated a change among the teacher trainers. These changes, observed during coaching, reflect the incorporation of both the training and the didactic strategies for improving reading and writing learning. Leadership from authorities and the PEEL ETR is gradually expanding institutional capacities to implement systems for evaluating learning and recognize good teaching practices.

### 5.3. From Practice to Policy: an Experience Articulating and Developing Capacities for the Improvement of Education Services in San Martín

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This case considers an intervention of the Decentralization and Local Governance (*ProDescentralización*) project. *ProDescentralización* had the objective of promoting improvements in decentralized management and providing more effective services benefiting the most vulnerable populations of the Peruvian Amazon. This project includes three major results: improvement of the policy and regulatory framework and its implementation, strengthening of the sub-national institutions so they become more efficient, and improvement of citizen control and oversight mechanisms. These three components interact and complement each other.

This case considers interventions under Task 2: Strengthening decentralized sub-national institutions in targeted regions<sup>11</sup>, with an emphasis on the work developed with the Regional Government of San Martín, the Regional Board of Education, the Provincial Municipality of Lamas, the Local Educational Management Unit (UGEL) in Lamas and the district municipalities of Barranquita, Cuñumbiqui, Tabalosos and Zapatero. These organizations form a coordination and cooperation body known as the

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<sup>11</sup> As the tasks are interrelated, reference will be made to Task 1 activities: Improve policies and key reforms; and Task 3 activities: Improve mechanisms of transparency and citizen participation.

Decentralized Management Group (GGD)<sup>12</sup>. The analysis of these activities does not account for the entire scope of the activity, but it allows us to understand how ProDescentralización develops capacities in its counterparts, particularly at the sub-national level.

### **Model and Methodology**

ProDescentralización applied an integrated and systemic model with three components: the staff component (which includes the skills, experience and knowledge), the institutional or organizational component (which covers the internal structure, policies and procedures) and the contextual or environment component (the interaction of social norms, power relations, rules, laws, etc.). This model is closely related to the USAID HICD.

The project assumed the following approaches in its operation:

- From practice to policy, an inductive methodology which allows for the construction of evidence-based policies and their effective implementation to expand their practice;
- Single Government approach, which focuses on strengthening intergovernmental and sector articulation within a territory to achieve common objectives, based on cooperation and complementarity, that enable improvements in public service provision.

For the design of capacity development activities, the project used the Institutional Capacity Assessment (DCI)<sup>13</sup> as a tool for regional and local governments. This made it possible "to establish a rapid measurement of the institutional capacities of government entities, in terms of level of compliance with their competencies and functions to solve public problems "(USAID - 2015). At the service level, it used the Improvement Plan<sup>14</sup>, which has fostered a culture of service, as well as a vertical and horizontal articulation between government institutions, involving managers, service providers and clients, users and citizens in general, during the different stages of implementation. The project has also worked with advanced participatory methods, particularly the consensus workshop method, the focused discussion method and the action planning method, which have strengthened public participation in development activities.

Gender and intercultural approaches were crosscutting themes in the project, which has the objective of benefiting vulnerable populations, particularly women and indigenous peoples.

### **Implementation**

The focus of the operation's scope of action - in this case, the Province of Lamas - was done in coordination with the regional government, after a quick assessment of the political and socioeconomic context, the capacity for social mobilization, geographic accessibility and the learning achievements results for the province's children. National priorities of the Ministry of Education (MINEDU) were also taken into account. Political commitment at the highest level was secured with a formal request for technical assistance from the San Martin Regional Government (GORESAM) to USAID. Subsequently, to ensure sustainability of the initial commitment, the project provided, during the period prior to the regional and municipal elections, technical assistance supporting the transition in administrations and the

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<sup>12</sup> The GGD is a strategy used to promote intergovernmental articulation; it is composed of the regional government, a provincial government and at least three district governments.

<sup>13</sup> Initially called Functional Organization Capacity Strengthening (FOCAS).

<sup>14</sup> Quality Service Improvement Plan (QSIP)

development of meetings and governance forums between incoming and outgoing authorities at the district level to achieve institutional articulation and activity continuity.

At the beginning of the project, in February 2013, the project formed a group of stakeholders in agreement with the authorities; it was called the Decentralized Management Group (GGD). This was made up of GORESAM, the Lamas DRE and UGEL, the Lamas provincial government, the district municipalities of Cuñumbuqui, Tabalosos and Zapatero; and representatives of civil society, while ProDescentralización acted as the technical secretariat. The conformation of the GGD was also a way to guarantee the counterparts' commitment:

*"More than just signing an agreement, what mattered to us was the fact that they formed a decentralized management group; and therefore, what you will find will be a report on the creation of the Decentralized Management Group. That is formal, and we are there, committed to provide technical assistance" (Director of ProDescentralización – 2017).*

The first and second meetings of the GGD prioritized education and the distribution of educational materials as the critical service areas to be improved<sup>15</sup>. The project applied advanced participatory methodologies to play an important role in reaching consensus among the stakeholder institutions.

#### *Institutional Capacity Assessments*

With the identification of the priority services, the activity carried out performance assessments. This opened two lines of inquiry, the institutional capacity of the members of the GGD to provide educational services, and their capacity to distribute educational materials. The assessment of institutional capacities in all the sub-national governments making up the San Martín GGD was carried out in a participatory manner, measuring the performance in functions such as planning, regulations, promotion of participation, administrative execution and supervision and control.

One of the limitations identified was the lack of trained personnel for institutional planning, mentioning that "the municipalities of Zapatero, Tabalosos and Cuñumbuqui, ... do not have personnel specialized in planning and ... this work is carried out in a limited manner by the accountants and/or other workers; and not having a duly prepared IOP (Institutional Operating Plan), they are guided by the Initial Institutional Budget when it comes to the execution of budget, which limits their ability to measure management results "(ProDescentralización - 2013).

In addition, according to the following statement, no organizations linked to civil oversight or citizen participation were identified: "During the implementation of the capacity assessment methodology in the departments of the Amazon area, no organizations related to oversight or participation around the prioritized services were identified"(ProDescentralización - 2013).

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<sup>15</sup>Report I24-2014-MINEDU/VMGI-OCR states that on November 28, 2012, the following was unanimously decided: "Approve the proposal for the development of the Decentralized Management Matrix of the Education Sector, which summarizes and arranges the tasks to be performed by each government level (national, regional and local), making the Educational Institution visible ... "" ... to which effect, the following operational processes of the Education Sector were given priority: Trainer Development Management, Materials and Educational Resources Management, and Educational Infrastructure Maintenance Management.

### *Assessment of the educational materials distribution service*

The ProDescentralización team took into account an assessment prepared by the MINEDU, with regard to the educational materials distribution process, where milestones and critical bottlenecks were pointed out. This document was reviewed by the Lamas UGEL with assistance from ProDescentralización before being validated in a meeting of the GGD that identified those aspects subject to citizen oversight.

One of the milestones identified in the process was the "preparation of terms of reference for the distribution of materials", with the bottleneck being the fact that "there were no clauses that penalize and sanction the contractor's repeated delay or its delivery in places other than educational institutions". The project teams and government institutions considered this as a key obstacle, partly due to the fact that Lamas UGEL had no experience in hiring since it became an implementation unit only in August 2013. The Lamas UGEL stated that it did not have the capacity to monitor processes. In this regard, the following was noted:

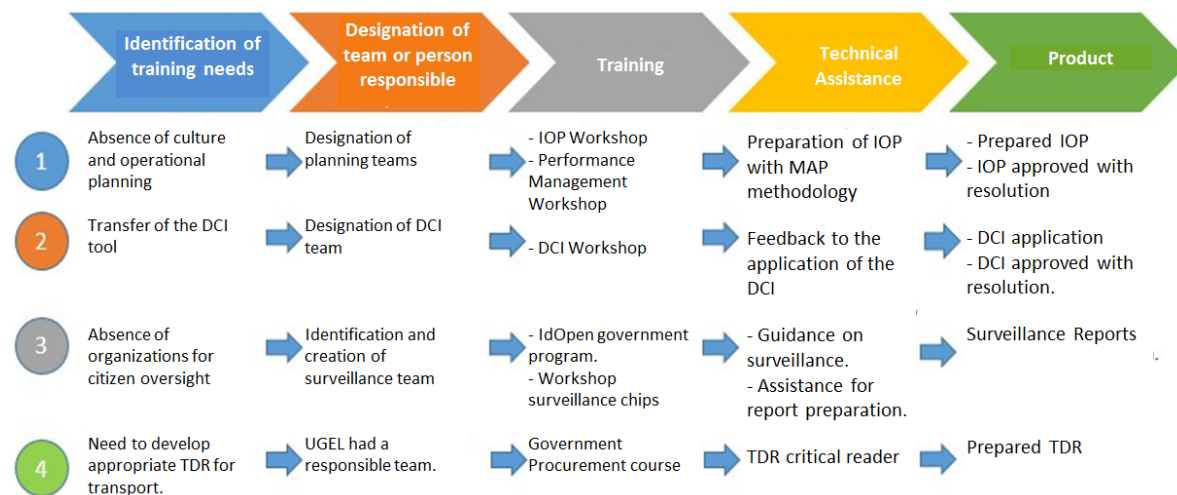
*"The UGEL gave in to the company (...) because, actually, we were a new implementer and there were certain processes that we did not know about. We really needed technical assistance; we needed capacity building "(Director of Lamas UGEL - 2017).*

The solution packages were then put together: on the one hand, there was the training and technical assistance plan; and on the other, there was a plan to improve the quality of service:

- *Training and technical assistance plan* was developed as a package of solutions based on assessment results. It included interventions to develop capacities in the five evaluated functions. Specifically for this case, programs, courses and workshops were designed to strengthen operational capacities, the application of the DCI diagnostic tool, and citizen participation and vigilance.
- *Improvement plan* was developed in a GGD planning meeting with ProDescentralización guidance. In this meeting, GGD members started a collaborative and coordinated effort, committing to take actions to overcome the identified bottlenecks. These actions were not consolidated into a document, but they were incorporated into each institution's Institutional Operational Plan (IOP). This ensures that actions are part of the annual activities with the respective budget. In addition to technical assistance and guidance, the project coordinated with the State Contracting Supervising Agency to provide training to UGEL personnel on procurement and public procurement.

Figure 8 shows select activities from the training and technical assistance plan and of the improvement plan. Each activity began with the identification of a need and the designation of a responsible group. Subsequently, training and technical assistance were provided. The plan was predicated on a 'learning by doing' approach to reach a concrete result.

Figure 8: Implementation of Training and Technical Assistance



Source: interviews and project documents. Self-prepared

The ProDescentralización team, as part of the technical assistance strategy, continuously looked for successful experiences that lent themselves to observation visits and experience exchanges. It organized and carried out these events by applying the following steps: a) identification and validation of the model experience; b) collective organization of the internship; c) visiting the model site and assuming commitments<sup>16</sup>; d) implementation of changes with technical assistance from the project; and e) a return visit by the visited entity. An example included the visit by a delegation from San Martín, “Observing positive experiences in Educational Management in Lima and Piura” included the participation of the provincial Mayor of Lamas, managers and officials from local municipalities, and DRE and UGEL directors, among others. The visit resulted in the San Martín delegation assumed two commitments: to reinforce educational institutional networks in the districts as instances of cooperation, exchange and reciprocal aid between educational institutions; and, the designation of municipal coordinators to support critical processes in the distribution of materials and educational infrastructure (ProDescentralización - 2016).

## Monitoring

To verify progress, the project established seven indicators linked to capacity development. Specifically for this case, the project established a results indicator measuring performance improvement: "number of days for the distribution of educational materials"<sup>17</sup>. This indicator counts the days taken by the UGEL to get the materials to the schools.

The project promoted the communication of achievements through accountability meetings, where the UGEL explained the results of the materials distribution process and a person in charge of the citizen monitoring team explained the report, listing bottlenecks identified during the surveillance rounds. Surveillance was a monitoring mechanism which, in the logic of continuous improvement, made it

<sup>16</sup> It highlights the Mayor of Lamas’ motivation and action to follow up on the commitments made.

<sup>17</sup> Via resolution, the Ministry of Education established the period of distribution of materials and the consequential number of days which this process must take.

possible to identify new or persistent bottlenecks, as well as update the improvement plan, year after year.

Once each year, institutional performance improvement was monitored with the Institutional Capacity Index (ICI) based on five functions codified in the legal structure for public institutions: i) planning, ii) regulations, iii) promotion of participation, iv) administrative execution and v) supervision and control of the provision of a public service. These functions were measured on a scale of one to four, where one means that the institution still does not have an adequate capacity; and four means that the institution has a good command or performance to this effect. The ICI allowed the institution to identify aspects for improvement and enabled the project to adapt the training plan and technical assistance to such needs<sup>18</sup>.

In general, the project made use of indicators focused on the development of institutional capacities rather than people. Thus, in addition to the two mentioned indicators, the following were used to measure institutional results:

- Percentage of sub-national governments which are part of the GGD and which adopt and include service improvement activities in their operational plans.
- Number of public entities which are part of the GGD and which institutionalize and implement better instruments for public service management.
- Percentage of targeted sub-national governments which are part of the GGD and which prepare Institutional Operational Plans with quantifiable objectives and defined results.
- Number of laws, policies or procedures promoting gender and intercultural equity reviewed and proposed with the assistance of the program.

In relation to the development of people's capacities, the project used the indicator referring to the number of individuals who are imparted training in effective public management practices and the improvement of service provision, which accounted for those who attended at least 70% of the training hours provided. These indicators relate to the project's M&A Plan, and the region adds indicators, as well, to obtain information of regional interest.

## **Achievements**

The most visible and recognized achievements in this case are the reduction in the number of days for the distribution of materials, from 81 days in 2013, to 24 in 2016; and the increase in the ICI in the institutions which make up the San Martín GGD.

In terms of institutionalization, the DCI tool was adopted by all institutions participating in the San Martín GGD<sup>19</sup> via official resolutions at the regional, provincial and district levels. Furthermore, the four participating municipalities incorporated the gender and intercultural foci into their annual operational planning. At the national level, the DCI was validated, approved and incorporated into the national policy by the Cabinet Office's Decentralization Secretariat.

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<sup>18</sup> The project did not always generate a training and technical assistance plan; certain activities were incorporated directly into the IOP or into the institutions' People Development Plans.

<sup>19</sup> Resolution 015-2016-PCM/SD

To make the GGD sustainable, the project sought to embed this strategy in the Local Participatory Education Council<sup>20</sup>. Another action taken to guarantee sustainability and to influence national policy, was the systematization of experiences, including the improvement of educational materials distribution, the GGD strategy, and the expansion of coordinated management, all of which have been presented to the MINEDU.

The project identified the high turnover of officials as an obstacle to sustainability. A lesson learned in this regard is the need to have a strategic communication plan to raise awareness regarding the coordinated work effort as well as raise citizen awareness on the importance of monitoring improvements in the provision of educational services.

In conclusion, this case provides an example of how ProDescentralización applied a holistic and systemic capacity development model along the lines of the HICD. Interventions considered the context and focused on the development of institutional capacities through individual capacity development. To achieve this, they carried out training activities, experiential exchanges and technical assistance with officials and civil society. Using the learning by doing approach, the GGD strategy strengthened collaboration and coordination among stakeholders. The capacity development results have been measured in terms of performance improvement, and the measurement tool has been institutionalized at the local and national levels.

#### 5.4. Contribution to the Anticorruption Justice System in San Martín

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The fourth case focuses on capacity development carried out under the Promotion of Justice and Integrity in Public Administration (Pro-Integridad) activity, particularly in the Attorney General's Office, the Judiciary and the Ministry of Justice. It presents activities aimed at improving the legal system to solve corruption cases within the framework of the implementation of the New Criminal Procedure Code.


Specifically, the case involves the interrelation and integration of capacity development at the institutional level and individuals involved in: (1) Diploma courses for specialization in the legal system to resolve corruption cases; (2) Management tools for the Attorney General's Office and the Judiciary; and, (3) Methodology for the calculation of Civil Redress due to damages inflicted against Public Administration. These activities were developed as part of the activities first three intermediate results (see Figure 9) under Objective 1<sup>21</sup>: Increase the legal system's capacity to resolve corruption cases. Geographically, the case is limited to the Department of San Martín.

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<sup>20</sup> COPALE: Educational management and local participation forum, which was reactivated by the project.

<sup>21</sup> The project also has two objectives: O2: Promote the Model of Institutional Integrity in the Justice sector; and O3: Strengthen the capacity of the Legal System to confront corruption through an effective commitment of civil society.

Figure 9: Capacity Development Activities under Objective I



RI 1.1 Strengthening the capacities of judges and support staff in the regions, to process and resolve corruption cases	<ul style="list-style-type: none"> <li>•Diploma for specialization in the legal system</li> <li>•Management tools for the Judiciary</li> </ul>
RI 1.2 Strengthening the capacities of prosecutors and support staff in the regions, to prosecute corruption cases	<ul style="list-style-type: none"> <li>•Diploma for specialization in the legal system</li> <li>•Management tools for the Attorney General's Office</li> </ul>
RI 1.3 Methodology to quantify the damages generated to the State resulting from corruption acts.	<ul style="list-style-type: none"> <li>•Methodology for calculating civil redress for damages inflicted against public administration</li> </ul>

### About the Model and Methodology

The Pro-Integridad project used a methodology focused on activities for the development of capacities of both people and the institution. To this end, it established, among other strategies, an institutionalization of strategic planning, a process for the establishment of priorities, as well as the systematization of practices in order to minimize the barriers to knowledge transfer among staff.

The project developed a gender inclusion strategy (May 2013) that detailed the seriousness of the problem in Peru, particularly in the anti-corruption legal system environment. This suggested the need for an approach in CD activities that addressed the topic and monitored participation by gender.

### About the Implementation

Activity implementation was carried out within the framework of formal commitments between the project and the counterparts, which guided the activity design. Initially, a baseline of the legal system was outlined, which included an analysis of the Attorney General's Office, the Judiciary, and the Ministry of Justice. Likewise, specific assessments were made with respect to the Attorney General's Office and the Judiciary, in order to identify performance gaps and the corresponding capacity development needs in those organizations. This led to the identification and prioritization of the following needs:

- Improve the system for hearings
- Reduce investigation timeframes
- Improve oral trial processes
- Improve the management system
- Elaborate regulations that organize the judiciary office and its areas and positions, as well as its functions and hierarchies and lines of supervision, among other issues.
- Resolve the fact that the superior coordinating prosecutor and the provincial coordinating prosecutor share their time between their coordination tasks and their prosecution duties.
- Standardize the number of assistants in prosecution duties and administrative assistants assigned to provincial prosecutors specialized in corruption crime.

Based on these priorities, the project designed and implemented training and technical assistance activities, the most relevant of which are described in the following paragraphs.

*Diploma Program for Specialization in the Legal System to Resolve Corruption cases.* This diploma course used the blended learning approach and consisted of 240 hours of instruction over a 23-week period. It was

carried out by the Human Rights Institute of Pontificia Universidad Católica del Perú (IDEHPUCP), as a Pro-Integrity subcontractor.

The Diploma course was designed based on a assessment of training needs performed in 2013, for which the main source was a self-assessment conducted by judges and prosecutors from the District Courts of Lima, Lima Norte, Lima Sur and Callao responsible for applying the Criminal Procedure Code to corruption cases. The training needs were divided into themes related to criminal law and criminal procedure law, public management, judicial ethics, complementary topics and dispatch management, all applied to corruption cases. This assessment served as a reference in the preparation of the Diploma Program, which included three modules: (1) Public Ethics, Public Management and Theory of Crime; (2) Civil Redress; and (3) Oral Litigation. The pedagogical methodology was established by IDEHPUCP and was essentially based on an analysis, discussion, and group resolution of practice cases, expositions and participatory dynamics.

The teaching materials were so highly valued that they were adapted to an academic format. This gave rise to the book entitled “*Aproximación multidisciplinaria para el procesamiento de casos de corrupción en el Perú*” [“Multidisciplinary Approach for the Processing of Corruption Cases in Peru”], which compiled the course materials and represents a complementary contribution to the diploma program’s training activity. Additionally, the transfer of the diploma program to the Judicial Academy was a highlighted result because it facilitated its replication and the implementation of a pilot course.

In the Department of San Martín, the diploma course ran between October 1, 2014 and May 17, 2015. Three (3) judges and six (6) prosecutors successfully completed the course<sup>22</sup>. From the participants’ points of view, the diploma course was highly relevant to the needs of the partner institutions.

*Preparation of management tools for the Attorney General’s Office and the Judiciary.* With TA from the activity, the counterparts prepared regulations governing prosecutors’ offices and an Organization and Functions Manual for the Attorney General’s Office, as well as a Hearing Scheduling Manual for the Judiciary. Technical assistance for the preparation of these management tools consisted of a revision of the different versions of the documents, comments for improvement, and advice. In this sense, the consolidation of these documents involved an improvement in institutional capacities in terms of providing clarity regarding the roles of officials, institutional regulations and management guidelines.

*The Calculation Simulator for Civil Redress due to damages inflicted against Public Administration* is an information technology platform developed to facilitate and standardize the calculation of civil redress, complemented by a user manual. The project trained 35 officials from the legal system who deal with corruption cases, on the use of the platform. This intervention involved the development of institutional and personal capacities and succeeded in linking both components.

### **Activity Monitoring**

The activity’s explicit objectives linked to capacity development supported the establishment of indicators that made it possible to account for achievements at the institutional and individual levels. In order to measure the result of the training and technical assistance activities in Objective I, the project established an outcome indicator for institutional capacity development: The number of improvements and/or processes assisted by the project that were implemented in the judicial and/or prosecutor’s offices.

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<sup>22</sup> They complied with the requirements set forth by PUCP and the Diploma Program.

In the case of training activities, the project used an output indicator that provided information on the number of judges and legal personnel who participated in the various training sessions on topics aimed at improving their performance in judicial and prosecution management. For the exclusive case of the diploma program, an indicator measured the acquisition of a capacity through the identification of the number of participants passing the course (13 out of 20). These indicators can be found in Table 8.

*Table 8: Indicators for Follow-up on Capacity Development Activities*

Target Level	Case Activity	Indicator
Objective I: Increase the capacity of the legal system to resolve corruption cases in Lima, Callao and the Districts Court of the Peruvian Amazon		Number of improvements and/or processes implemented in the judicial and/or prosecutor's offices of the headquarters in the pilot districts.
RI 1.1: Strengthening the capacities of judges and support staff in the target regions to process and resolve corruption cases	Diploma Program for Specialization in the Legal System for Corruption Cases	Percentage of judges and prosecutors registered in the Diploma Program for Specialization for Corruption cases with a passing grade in the program and who are certified  Number of judges and trained legal personnel

No specific indicators linked to the development of management tools were established; however, the project recorded the number of institutional documents developed with its support. It is worth mentioning that the responsibility for monitoring and documentation fell to the counterparts, with project supervision. The Attorney General's Office, the Judiciary, IDEHPUCP and others recorded their activities and the project collected and reported the achievements on a quarterly and annual basis, in order to provide feedback for its future stages.

## **Achievements**

In general terms, the assessment of the final performance (2016) revealed that capacity development activities have generated a positive change in the counterparts, developing institutional management capacities, as well as theoretical and practical knowledge. The management of courtrooms, courts and prosecutor offices changed positively as a result of the diploma course and of the use of management tools for the Attorney General's Office and the Judiciary. The following highlights key results:

- The diploma course for specialization in the resolution of corruption cases developed theoretical and practical knowledge among participants, who acknowledged having improved their performance (application of acquired knowledge) in corruption cases, specifically as a result of the diploma course, and pointed out that its quality and relevance were very high.

*"The second version of the Diploma program was conducted with the sponsorship and participation of the Academy of Magistrates (AMAG), which points to an auspicious institutionalization of this training modality for corruption issues within the framework of the entity legally responsible for developing it. The continuity of this Diploma course from the AMAG confers institutional support to its sustainability" (Final Evaluation of Pro-Integridad).*

The participants recommended the following: (1) to include government solicitors, who recognized that relevant and useful topics were touched on, since theoretical and practical knowledge contributes to a better resolution of corruption cases in the region; (2) to use as study cases the

corruption cases that are typical of the region; (3) to address, in the training process, a type of corruption crime that is typical of the region, which should be identified in the initial diagnosis; and, (4) to give preference to courses that require physical attendance and have a longer duration.

- The management support component, through management tools for the Attorney General's Office and for the Judiciary, reported an *"improvement in the understanding of the joint and specific work that must be carried out within the framework of the institutional functions of each organization; this being due to the participants' interest and management contributions"* (Final Evaluation of Pro-Integridad).
- The methodology for calculating civil redress due to damages inflicted against public administration, the simulator and its respective manual were used in judicial proceedings. Reports indicate that its application improved legal system results and that it was highly likely to continue being used. In fact, the Solicitor General's Office has started using the simulator, *"the prosecutors have taken advantage of the simulator and the manual to calculate civil redress in the discharge of their duty, at a medium level, because it has allowed them to estimate the corresponding amounts, especially in simple cases involving few people"* (Final Evaluation of Pro-Integridad).

This case illustrates that capacity development improves to the extent that the model integrates institutional interventions with individual development, along with technical assistance and training, in order to contribute to the sustainability of the processes. This case shows major achievements in the three activities, and the diploma course is a successful experience in the development of individual capacities. There is no sign of interrelation and integration with the other activities aimed at the development of institutional capacities addressed in this case.

## 5.5. Contribution to Forest Management in Ucayali, the case of the Regional Environmental Authority

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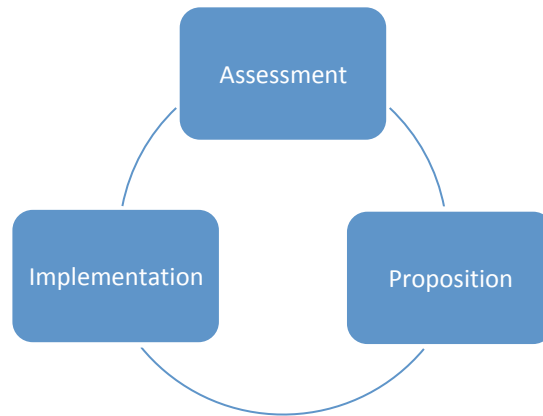
The *Perú Bosques* activity aimed to improve forest governance and to promote forest management and economic development. This case is at Intermediate Result 1, and is related to the creation and implementation of the Ucayali Regional Environmental Authority (ARAU) as the sole agency responsible for managing forestry and environmental intervention activities in the region.

The ARAU was created from the merger of the Natural Resources and Environmental Management Department and the Executive Wildlife Bureau (DEFFS) of the Ucayali Regional Government (GOREU). These bodies were key in the planning and implementation of the capacity development activities implemented by the project.

### **About the Model and Methodology**

The project used a methodology based on a three-phase forestry strategy: assessment, proposition and implementation (see Figure 10). The connection with capacity development was accomplished through two activity areas: (1) institutional capacity development; and (2) support for national and regional policy and legislation to improve forest and environmental governance. The first activity area included institutional strengthening aimed at improving the performance of state agencies, through restructuring, the creation of entities, the design and implementation of management documents, training, the donation of equipment, and the preparation of a public investment project (PIP). The second activity area was focused on the improvement of forestry and environmental policy and legislation through technical assistance activities for the preparation and implementation of legal technical documents.

Figure 10: Project Methodology



Source: Project Information

The strategy, considered as a process, went through an initial phase of assessment, in which the state entities involved were identified, as well as their bottlenecks at the process level. The next phase, proposition, sought to agree with the entities identified about the contribution of the project to problem solving, based on the design of activities and other mechanisms to be defined for an intervention. Finally, in the implementation phase, specialized activities and services, such as technical assistance and training, were carried out directly or through subcontracts.

Gender and intercultural considerations represented a substantial part of the project. The activity assessed how gender relations affected the achievement of sustainable results, and how the proposed activities affected the status of men and women. This was incorporated in the guidelines of the project's Gender Strategy, which was applied across the board in the design, implementation and assessment of the capacity development activities.

Similarly, the intercultural approach was taken as a task cross-cutting the capacity development activities; therefore, each activity integrated indigenous considerations and reported them with indicators that measured ethnic participation, considering the International Labor Organization's Convention 169 and paying special attention to the strengthening of indigenous communities.

## Implementation

The project implemented its activities within the framework of the GOREU commitment assumed with the signing of the Gray Towers Accord<sup>23</sup> for the creation and implementation of the Regional Environmental Authority (ARAU).

Initially, the project carried out the evaluation of GOREU performance, through the Institutional Capacity Index (ICI)<sup>24</sup>. The ICI is a tool used to measure the operational effectiveness of the administrative entities of the forest sector and is based on two pillars: i) the new approach to state

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<sup>23</sup> Through this accord, the regional governments of Amazonas, San Martin, Loreto, Ucayali and Madre de Dios made a commitment to create and implement the ARA.

<sup>24</sup> According to the document entitled "Tool to measure the operational effectiveness of the administrative entities of the forestry sector," the ICI is created by the project, since this is provided for in the contract as part of the deliverables.

management as defined in the Modernization Law; and, ii) results-based modern public management. The measurement includes the main GOREU systems and policies: human resources management, strategic planning, public budget, the modernization of public management, public transparency, and women's participation. In addition, each activity carried out in the framework of the creation and implementation of the ARAU had its own diagnosis, which served to identify the needs for capacity development. Thus, the management documents were prepared on the basis of a mapping process, where the importance of consolidating different sectors of the GOREU was identified in order to provide a better service through the reduction of administrative procedures - and consequently - response times as well.

The profile of the Public Investment Project (PIP) known as ARAU Improvement - Regional Natural Resources and Environmental Management Department, was prepared by analyzing the problem chart and the diagnosis of the processes. For the purposes of the PIP, the central problem was defined as limited environmental management services at the GOREU with a final effect of decreasing environmental quality in the Ucayali Region.

The Capacity Development Plan (CDP) was carried out through an assessment of training needs, developed from a participatory methodology with the DEFFS. The identified gaps were divided into two groups: forestry issues, which included bottlenecks in procedures for approving forest management plans and the lack of a personnel technical capacity development plan. At the same time, environmental issues pointed to a deficient development of forest management capacities and a consequential delay in the approval times of administrative processes.

Finally, the design and adaptation of the ARAU, according to the National Policy for the Modernization of Public Management, was carried out based on an assessment that enabled the identification of bottlenecks related to inspection requests, the preparation of inspection reports, the evaluation of the modernization plan, and bureaucracy at the legal processes level. Moreover, the assessment recognized logistical problems related to the lack of infrastructure of the ARAU, finally determining that the ARAU did not coordinate actions among its organizational units.

The implementation of the solutions package, designed based on the organization's performance diagnosis, focused on two types of activities: training and technical assistance. The training activities included training for ARAU officials focused on the use of management documents prepared for the creation and implementation of the ARAU, including the: Organization and Functions Regulations (ROF), Organization and Functions Manual (MOF), Staff Analytical Budget (PAP), Personnel Allocation Table (CAP) and Consolidated Text (TUPA). For the purposes of increasing knowledge, awareness and the correct application of these management documents, training sessions were developed for the officials of the organizations that would form part of the ARAU.

Technical assistance activities included different implementation processes for each of the products. These activities were characterized by joint work with the GOREU team (See Table 9).

*Table 9: Technical Assistance Activities (TA) by Product*

Product	Project Technical Assistance	Product's Final Status
Management documents: ROF, MOF, PAP, CAP and TUPA	The TA emphasized the process and function mapping of the key institutions that made up the ARAU, as well as in the office analysis and documents adjustment.	The documents were approved by the respective departments and by the Regional Council. They are used by ARAU.
PIP	The TA allowed for the definition of the chief problem, the relevant causes, the derived effects, and the definition of the chief purpose and the drafting of alternatives around a technical analysis of needs. It also included an evaluation of the costs and social effects associated with each alternative.	PIP approved and assigned a code in the National Public Investment System (SNIP) Implementation pending.
CDP	Joint work with the departments' officers. The SERVIR guidelines were used. The target included officials, technical team and members of the communities.	Commitment to implementation by GOREU and the organizations which participated in its preparation.
Design and adaptation of the ARAU according to Modernization Policy	The TA was centered on three pillars: public policies and strategic and operational plans; results-based budgeting; and process management (through administrative simplification and institutional organization).	ARAU in intervention with modernized processes

The TA for the design and adaptation of the ARAU included three stages. The first, the preparation stage, facilitated knowledge of the process to promote and strengthen the ARAU, after going through a situational analysis and diagnosis of processes. The second stage, institutional improvement, included the strengthening and finalization of the management documents and the Procedures Manual (MAPRO). Finally, in the third stage of implementation, the personnel transfer processes were executed together with the implementation of the improved processes within the National Modernization Policy framework.

Additionally, technical assistance from the Peru Bosques Project supported the preparation of the ARAU POI and 2015-2017 Budget, including a methodological proposal for the implementation of the results-oriented budget and a working document on administrative simplification.

### **Monitoring**

To monitor the performance and follow-up of the activities corresponding to the solutions package implemented, the project had an Activity Monitoring Plan that described the performance measurement indicators.

To support data management, a project information system functioned on a Teamdesk software platform. This is a cloud software service, which, according to project officers, provides a flexible and secure platform that could be duplicated by other projects. This system recorded activities such as implementation mechanisms, means of verification and achievements, making it possible to generate information as needs arose.

Although the monitoring plan does not have an individual indicator to measure ARAU performance, the plan included the following relevant performance indicators:

- Improvement in the performance of Peruvian forestry agencies in the execution of activities included in the Trade Promotion Agreement (TPA) on Forest Sector Management Annex. This indicator, at the results level, is obtained from the percentage of progress made in the achievement of other indicators referring to the actions proposed in the TPA Annex – deemed to be the ideal performance of state forestry institutions.
- Number of policies, laws, agreements or norms that promote the sustainable management of natural resources and conservation, including the annual operating plans of the forest concessions implemented.
- Number of people trained on Forestry Sector governance.

The measurement of training activities was carried out based on the attendance of officials (list of participants and actual roll call), as well as on the knowledge acquired (application of an admission and final exams).

Regarding technical assistance, the documentation review did not provide information on the evaluation process of the TA; however, the interviews clarified that their effectiveness was reviewed in technical meetings with the involved stakeholders. The management documents were subject to approval by the counterpart, in this case the GOREU; thus, the document's approval was an indicator of a favorable assessment of the related technical assistance.

### **Achievements**

The results of the follow-up were used as feedback and duplication mechanisms, based on the RRRAR data cycle, which includes the following stages:

- Data collection;
- Review of collected data;
- Reporting data through reports;
- Data analysis performed by a technical team; and
- Feedback on the analysis of the improvement proposal.

The results achieved were focused on:

- Management instruments (ROF, MOF, CAP, PAP and TUPA) for the creation and implementation of the ARAU, approved by regional ordinance;
- Capacity Development Plan (CDP) of the Regional Natural Resources and Environmental Management Department and the DEFFS, for implementation and institutionalization; and,
- PIP Profile Improvement of the ARAU - Regional Natural Resources and Environmental Management Department of the GOREU, approved by the SNIP.

The process of implementing the ARAU was the responsibility of the regional government, executing the activities designed with the project's support. In addition, it would assume the processes created in the management documents and the execution of the PIP. The CDP is a special case because it was not implemented due to lack of funds.

Additionally, in order to ensure the sustainability of the developed capacities, a sustainability plan was implemented with the main objective of re-launching the ARAU within a period of three years, according to the following specific objectives:

- Development of capacities and competences for the design and development of public policies targeted towards, at the political and managerial level, the stakeholders related to the intervention and sustainability of the ARAU.
- Development and improvement of the services portfolio in terms of quality, opportunity, cost and impact, which helps to legitimize the ARAU vis-à-vis society.
- Improve the recruitment and enhance financial and budget resources.
- Enhancement of management levels and institutional and inter-institutional articulation.

The project achieved increased levels of participation by women in the creation and implementation of the ARAU, especially in the diagnosis of CDP needs, as well as in the preparation of the PIP profile. It was successful in getting ARAU officials to explicitly include the gender equality approach in governance instruments and in regulatory documents. The ARAU was the first ARA to include this approach from its inception.

This case highlights the development of institutional capacities based on an analysis of the context, the initial assessment and the active and participatory work of the stakeholders. This allowed for the strengthening and improvement of processes of a new regional entity. It is evident that the strategy used by the project responded to the development of individuals' capacities and made it possible to implement the ARAU with positive results.

## 5.6. Contributing to Forest Management in Loreto: The First Geospatial Information Website

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The fifth case is part of the Peruvian Forest Sector Initiative (PFSI)<sup>25</sup>, a project with four expected results: R1: Contribute to the conservation and management of the forest ecosystem; R2: Strengthen institutions in the Peruvian forestry sector; R3: Improve access to information relating to natural resources and promote transparency and participation in decisions associated with natural resources; and R4: strengthen technical capacities for sustainable community forestry.

The case is related to the implementation of the Spatial Data Infrastructure (IDE) in the Regional Government of Loreto (GOREL), defined under R3 of the project (specifically Result 3.2): Development of the relevant legal framework for the National Forest and Wildlife Information System (SNIFF-MC) Control Module and the regional Amazon governments<sup>26</sup> implementation of geospatial information repositories articulated at the national level.

The IDE objective was to standardize the generation, transformation, exchange, dissemination and use of spatial information in territorial planning and informed decision making, with the aim of establishing a transversal process that provides "quality spatial information" to the other processes developed by

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<sup>25</sup> PFSI was created to support compliance with the APC Forest Governance Annex between the governments of the United States and Peru. The annex contains recommendations for the improvement of forest governance.

<sup>26</sup> Initially, Loreto, Ucayali, San Martín and Huánuco.

GOREL within the institutional framework. To this end, PFSI has provided technical support in the articulation, development of capacities and institutional structure of this process.

### **Model and Methodology**

In its 2012-2016 Institutional Strategic Plan, PFSI defines itself as a technical assistance project aimed at contributing to sustainable forest management in Peru. One of the ways to achieve this was through building capacities across all project components. Interventions were guided by the following principals: a) Work closely with Peruvian counterparts to define objectives, results, methodology, contents, timeframes, etc.; b) Promote a culture of cooperation that specifies the contributions and responsibilities of the counterparts and PFSI; c) Focus the intervention on improving both individual and institutional performance through the development of technical and management capacities; and, d) Incorporate the systematization of experiences as a fundamental activity to strengthen learning sustainability.

Accordingly, the PEI established the development of capacities in public and private institutions as a five-year strategic goal, to lead and promote sustainable forest management in a participatory manner. The PFSI contribution to achieve this goal was demonstrated in two ways: by developing capacities of public sector officials at different levels, but above all addressing decision makers who have the ability to drive changes within their institutions towards sustainable forest management; and at the same time, by developing technical capacities with those from research centers, universities or promotion centers which can offer better technologies to promote sustainable forest management.

In its approach to developing capacities, according to the reviewed documentation and the information gathered in interviews, a gender or intercultural approach was not explicitly included.

### **Implementation**

The Regional Government of Loreto was chosen after the project conducted an analysis of the governance context in the Peruvian forestry sector, which identified problems and opportunities, expected results and the groups or institutions that were participants in the forestry sector's governance. PFSI and GOREL had a verbal agreement on the development of the intervention; however, the regional governments entered into a formal agreement that included the implementation of SDI in their respective regions.

For the design of the intervention, the project assigned a facilitator who sought to identify GOREL needs in order to align the project's objectives with the institution's needs. The GOREL Planning Department identified the need to organize and better manage their spatial information and the project's intervention made it possible address the need for its own spatial data management tool. Within this department, a technical group was formed that engage in the implementation of the IDE within GOREL.

The project facilitator accompanied and provided technical assistance to carry out the capacity and performance assessment of the Planning Department, as well as an analysis of the departments spatial information system. This resulted in a proposed improvement plan with a package of solutions, including capacity development.

The main capacity development activities included:

- *Study tour* to improve the IDE in Peru. The objective of this activity was for participants to learn about the policies, norms, standards, methodologies, best practices, challenges and mechanisms used by the United States Forest Secretariat (USFS) and other partner agencies. In this regard, PFSI was responsible for the logistics of the study tour, where officials from the Ministry of Agriculture, the

National Forest and Wildlife Service and the regional governments of Loreto, Ucayali, San Martín and Huánuco participated. This activity was assessed by the facilitators through a focus group, where they used a scale of 1 to 10, according to semi-structured questions. The participants recognized that the study tour's contribution was to provide knowledge, which allowed them to broaden their view of the process, become aware of the importance of SDI and trace a roadmap.

*"There are no wide-ranging experiences in Peru as to how to implement an IDE. The regions have been working and as we have encountered problems, we have been observing other experiences on how to solve them. The study tour opens your mind. Many of the problems relating to the handling of information, of technologies which are examined (...) are answered in the study tour, not only answering questions about the problems, but also with regard to what may happen later. It provides a direction, it traces a roadmap telling you which way to go."* (GOREL official).

- *Training events* carried out to improve specific technical capacities that regional governments recognized and documented as necessary to PFSI. PFSI and the regional governments jointly defined the contents that best suited needs. As an example, the first Geospatial Database Management Applied to the Spatial Data Infrastructure course was a need jointly identified with PFSI. Prior to its implementation, requirements for the selection of participants, a defined syllabus and materials and a learning assessment (with an admission and final test) were defined. GOREL specialists participated as exhibitors and PFSI provided logistical support for the transfer and permanence of the GOREL-designated personnel during the course.
- *Technical assistance and accompaniment* was carried out during the entire IDE implementation process; for example, to make a diagnosis and to prepare the annual work plans.
- *Workshops and exchange of experiences* served as a coordination forums between the GORES, allowing for discussions on progress and challenges, to set objectives, as well as to assimilate the lessons learned. PFSI provided the logistical support to gather the participants in a given region.

The training was encouraged as a result of the demand and they were highly valued activities, despite the fact that they were not part of a strategic plan to improve the management capacities of the forestry sector.

## **Monitoring**

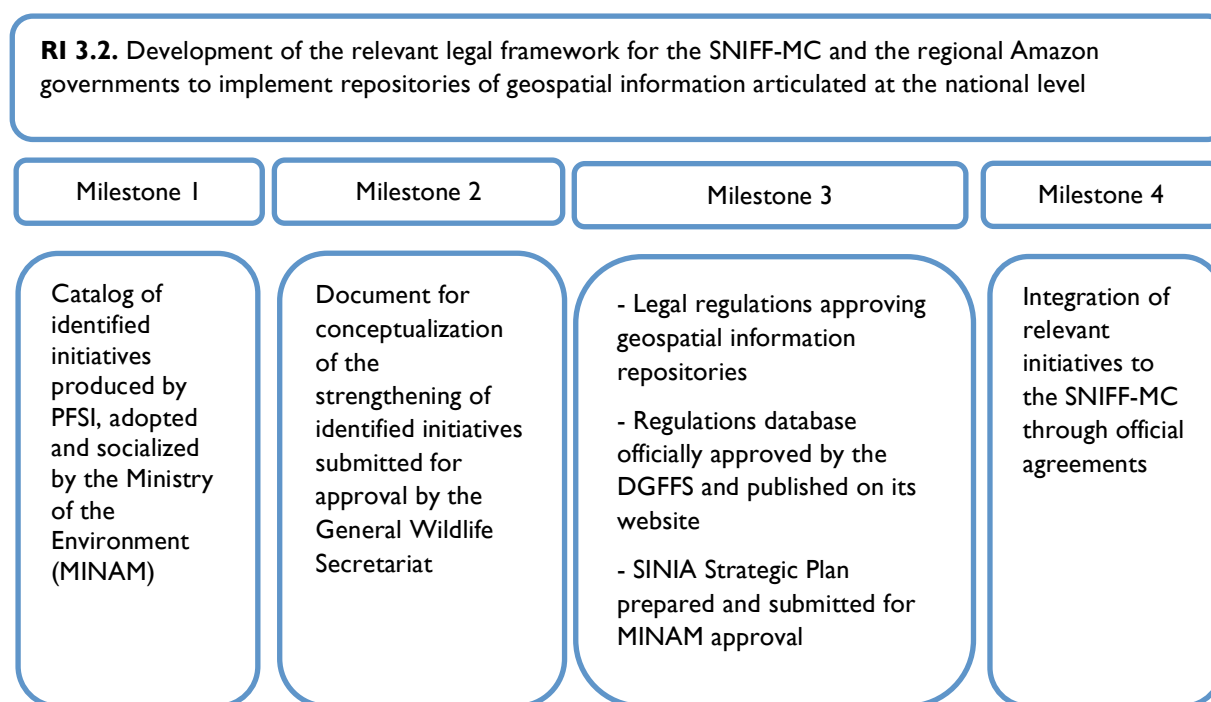
In order to verify compliance with the intermediate result in which this case is developed, the project established three indicators: the first (the Product Indicator) is related to the number of people who were trained in natural resources management and/or biodiversity conservation. The second one is the result indicator: the number of laws, policies, strategies, plans, agreements or regulations that address climate change and/or biodiversity conservation. These were reported at three different times, when they were officially proposed, when they were adopted, and when they were implemented. The higher level indicator refers to the effectiveness of the processes implemented by the institutions involved (see Table 10).

Table 10: Result Follow-Up Indicators 3.2

Intermediate Result	Indicators
3.2. Development of the relevant legal framework for the SNIFF-MC and the regional Amazon governments	<p>1: Number of people imparted training in natural resources management and/or biodiversity conservation</p> <p>2: Number of laws, policies, strategies, plans, agreements or regulations that address climate change (mitigation or adaptation) and/or biodiversity conservation officially proposed, adopted or implemented</p> <p>4. Effectiveness of the processes implemented by the main Peruvian institutions involved in forestry and the conservation of biological diversity.</p>

The indicator linked to the effectiveness of the processes measures the quality of the processes through five criteria and four milestones established in the PMP (see Figure 11). The criteria were consensus/agreement, participation/inclusion, commitment, decentralization and inter-agency cooperation. Each of them was valued according to their importance, with a score ranging between 0 and 2. Thus, for the intermediate result in which this case was developed, the milestones were as presented in Figure 11.

Figure 11: Milestones to Determine Efficiency of the Processes Leading to the IDE



Source: 2013 M & E Plan.

Each of these milestones made it possible to ensure the sustainability of the results. However, no new references to these milestones are contained in the reports.

As part of the follow-up activities, the project reported on the status of implementation and progress of activities associated with the IDE in GOREL implementation. The two product indicators were updated quarterly and uploaded to a database on the project's website. To this effect, there was no indicator to establish the degree of progress or problems encountered in the implementation of the SDI.

In relation to the use of the information generated through monitoring and assessment, the project prepared an Action Plan considering the recommendations provided by the mid-term assessment (2013), which it identified as the main critical points for the development of capacities: (1) the high turnover of officials of the trained institutions and the lack of support resources in the regional authorities; and (2) the lack of a capacities building plan, either in-house (for the national forest authority) or external (for the forest stakeholders).

## **Achievements**

The participants recognize the development of capacities at the organization, coordination and planning levels. In effect, they noted that regional officials now possessed technical knowledge on how to model databases, inventories and diagnostics. In addition, the study tours generated political will to implement the regional SDIs, which contributes to the sustainability of the intervention.

The role of GOREL as a motivator, companion and key player is recognized as another major achievement, enabling other regional governments to strengthen their technical capacities and develop their diagnoses, work plans and proposals for the development of their own SDI. This is the result of the empowerment that PFSI promoted at the GOREL, as well as of the training coaches' approach.

The case shows that capacity building, in addition to focusing on improving individual and institutional performance and technical and management capacities, also requires close work with the counterpart, a culture of co-intervention and the systematization of experiences, to strengthen learning sustainability. Through this combination, GOREL implemented the first geospatial information portal, developing internal capacities and facilitating learning in other regions, within the framework of an inter-regional agreement signed with the support of the project.

## **5.7. Conservation of the Amazon from the Learning of Economic Incentives in Ucayali**

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The Initiative for Conservation in the Andean Amazon (ICAA), during its second stage (2012-2016 period), has been a regional activity that added and integrated the efforts of more than 30 local and international organizations to strengthen the conservation of the Amazon biome in Colombia, Ecuador and Peru. Together with the partner organizations, the ICAA Support Unit (SU) played an important cross-disciplinary and integrating role in the activity's implementation.

The activity included four results: R1: Sustainable management of selected landscapes, R2: Improvement of the intervention of key elements in the governance of natural resources in critical landscapes, R3: Greater capacity to use programs similar to the mechanism involving payment for environmental services and other economic incentive programs; and R4: Better understanding of key environmental problems and their solutions. In addition, the program had five cross-cutting components: policies, gender, indigenous peoples, capacity building and regional institutions strengthening.

The selected case refers to the Capacity Development Groups (CDG) in Economic Incentives for Conservation (IEC) programs with indigenous peoples, which is located in Result 3, specifically in IR3.2: The capacities of leaders and members of communities increased. This capacity development

experience<sup>27</sup> seeks to augment the ability of leaders and members of indigenous communities to use IEC programs. Specifically, the program worked with eight organizations in the Andean Amazon. The case focuses on the Federation of Native Communities of Ucayali and Contributors (FECONAU), one of the three Peruvian indigenous organizations that were part of the CDG.

### **Model and Methodology**

The project applied the HICD model. From the outset, it developed a Capability Development Action Plan, which defined three lines of action:

- *Development of Individual Capacities*, referred to specific capacities, through methodologies such as training for trainers, indigenous exchanges, practice communities, etc.;
- *Development of Organizational Capacities*, which applied the HICD operational model using three methods: Capability Development Group in Economic Incentives, Regional Institutions Program Strengthening Program, and Organizational Structures and Resources Enhancement.
- *Incentive of Partnerships and Synergies for Capability Development*, which sought to broaden the scope of the intervention, via joint execution with project partners and the use of management tools, for close coordination.

These three lines of action responded to three priorities, namely: i) support for the project's intermediate objectives and results; ii) adoption of the concept of capacity development (instead of capacity building); and iii) search for sustainability and impact of the intervention.

Gender and intercultural approaches were present in the intervention in the form of explicit cross-cutting components, both with respective action plans, prepared from an analysis of the situation or through a consultation process.

The activity had a specialized team dedicated to implementing capacity development activities in each of the four results and cross-cutting components of the project.

### **Implementation**

The following factors were taken into consideration in order to summon and select the indigenous organizations: i) the interests collected during the indigenous exchanges carried out by the Economic Incentives team; ii) the recommendations of the Coordinator of the Indigenous Amazon Basin Organizations (COICA); iii) the GDC approach to provide close and on-going support to trainers and leaders of the organizations in the three countries; and iv) the project's budget, considering the geographical location of the organizations and the mobilization costs which should be incurred when working with these organizations in the Amazon. The selected organizations, including FECONAU, were those that responded to the call.

Prior to the intervention, the formal commitment of the organization was obtained through a letter. FECONAU expressed its willingness to make human and material resources available to the project in order to ensure the productive participation of its organizations.

In the selection of trainers—who would also be a driving group in the processes—a file with basic requirements was made available to help identify leaders who could promote the training process and

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<sup>27</sup> It should be mentioned that - unlike the other six projects presented - ICAA-2 did not have government institutions as a counterpart to its activities, but rather social organizations.

support their organizations in the different commitments assumed by the GDC. The most relevant requirements included being recognized as a leader within the community or organization and being committed to the community. As part of the effort to apply the gender approach, the intervention sought to have at least one woman in the coaching team.

In order to assess institutional capacities, a visit was made to the participating organization with the purpose of: 1) explaining what the GDC consisted of in Economic Incentives and committing the Board's support to the activities to be carried out; 2) assessing the needs of the organization, to understand its context, provide feedback to the GDC design, and propose topics for technical assistance; and 3) assessing the status of capacity development with representatives of the organization, including managers and leaders.

A package of solutions was prepared that incorporated recommendations from the participants of the most recent Indigenous Exchange and from COICA.

The objectives set out in the ICAA results framework included an agreement to strengthen capacities at the level of: 1) an adequate management of the concepts linked to the IEC programs; 2) transmission of information about IEC programs to the organizations' bases; 3) making informed decisions on their own about IEC programs; and, 4) taking actions to prevent damage and boost benefits from the design and/or implementation of IEC programs.

In addition to these four capacities to be developed, technical assistance activities were added on topics relevant to the organization such as the organization's radio implementation, which was included in the assessment of needs made prior to the intervention. In that sense, the GDC was designed with a participatory, flexible, dynamic and innovative process that sought to ensure the empowerment of individuals and organizations. With this in mind, a combination of methodologies was used to strengthen the capacities among peers, including training workshops for trainers and repetition, the development of support material for training and dissemination, technical assistance and guidance, support for the dissemination of Economic Incentives on the radio, and virtual and face-to-face exchanges of experiences.

This following constitutes the package of solutions to develop GDC capacities:

*Training workshops for trainers and replication workshops.* The GDC held three training workshops for trainers, with a duration of four days each. Key issues were addressed during the first two days, about the IEC programs and training, while on the third day, the indigenous people selected as trainers held a workshop to teach a new audience from their organizations and grassroots communities what they learned before. On the last day, they jointly analyzed their abilities and problems experienced as trainers and received feedback from the AU facilitators to correct and strengthen their subsequent interventions. The workshop had an admission and final test in order to measure changes in participants' level of knowledge.

*Preparation of support material for training and dissemination.* In addition to adapting the existing IEC training kit (3 flipcharts and 12 radio programs), the project developed 5 new specialized materials (for example, safeguard guides).

*Specialized technical assistance and support to organizations* to improve and/or enhance the management of indigenous organizations to respond to specific needs in IEC issues. These needs were identified in the initial assessment, and TA actions were defined by the organizations with the help of the UA team. The needs identified for FECONAU were as follows: a) Project preparation and planning by results; b) Incorporation of the gender approach and proposals such as the Amazon Indigenous Network, and how

to ensure the participation of men, women, youth and the elderly; and, c) How to approach teamwork within the organization. Additionally, the UA team supported the coordination, planning and guidance of the duplicate workshops in the indigenous organizations' grassroots communities, providing feedback to the IEC trainers to improve their training skills.

*Support for the diffusion of Economic Incentives on radio.* The UA supported organizations interested in working with the radio, in order to reach a greater number of grassroots communities with the presentation of climate change issues, ecosystem services, IEC programs, gender and other information of interest to organizations. This support for the trainers consisted of developing their voice-over skills, developing radio programs and funding to rent advertisement space on the radio. Consequently, the organizations prepared the scripts, conducted radio programs and coordinated interviews with their guests. In the case of FECONAU, a proposal was made with the support of the UA to ensure the project's sustainability after the ICAA intervention.

*Virtual exchange and face-to-face exchange.* At the virtual exchange level, the following interventions were identified: 1) Training on social and environmental safeguards; 2) Use of radio as a strategy to inform grassroots communities about various issues, listening to the FECONAU experience and that of other indigenous organizations; and 3) Training with an expert in radio, to clarify concepts and practices, as well as provide key elements in the use of this medium. With respect to the face-to-face exchange, this was held at the regional level and as a closing event of the GDC, with the purpose of strengthening the handling of key issues on climate change and the use of good practices for the management of Economic Incentive programs.

## Monitoring

Since ICAA II is a program implemented by several consortia, each participating institution sent performance indicator information to the AU for consolidation and global monitoring report.

Regarding the monitoring of changes in organizational capacities and performance, follow-up tasks consisted of: (1) Measuring individual and organizational capacities to evaluate the improvement made on prioritized capacities; (2) Compiling—in the replication workshops—trainers' success stories, in order to document and highlight increases in skills; and (3) Holding regular team meetings, as a responsibility of the GDC, to analyze and evaluate progress (achievements and problems) and make appropriate adjustments in a timely manner.

To measure individual and organizational capacities, the program established nine indicators at the individual and organization levels, and five performance indicators were determined, four of which were products, four related to capacity development and three to policies (See Table 11).

*Table 11: Indicators to determine the increase of Individual and Organizational Capacities (RI 3.2)*

Indicators	Indicator Level
No. 4. Number of initiatives promoting the implementation of increased economic incentives.	Result
CAP-1. Percentage of trained people who increase their knowledge in natural resources management and/or biodiversity conservation, increased.	Result
CAP-4: Number of organizations, institutions and/or networks with key capacities, increased.	Result
CAP-2. Number of man-hours of training in natural resources management and/or biodiversity conservation.	Product
CAP-3. Number of people trained in natural resources management and/or biodiversity conservation.	Product

The program established indicators to determine the increase in the number of initiatives promoting the implementation of economic incentives, as a result of the application of strengthened capacities.

To determine the increase in the organizations' capacities, the program used an indicator of key capacities (CAP-4). For this purpose, it developed an ad hoc instrument for each institution, known as the Base Line to Measure Organizational Capacities, which was used at the beginning and at the end of the project. For this case, four capacities and 20 indicators were addressed:

- Properly handling of IEC program concepts
- Transmission of information about IEC programs to the organizations' bases
- Making well-informed decisions of their own about IEC programs
- Taking steps to prevent damage and to maximize benefits in the design and/or implementation of IEC programs

Each capacity was quantified with a score from 1 to 5.

At the individuals level, the program included admission and final tests to determine knowledge increases (CAP-1), concluding that the person increased knowledge by obtaining a final test grade higher than that obtained in the admission test. Likewise, the activity tracked the number of people who participated in the training events (CAP-3).

To determine the effort made in the training activities, the program used an indicator (CAP-2) measuring the hours of training invested by people that completed training events.

Progress in the application of the gender approach by organizations was determined by including specific indicators in the measurement of capacities, for example: "The organization has implemented strategies to ensure the participation of men, women, and also young people and elderly in IEC meetings and workshops" (Indicator 2.6).

### **Achievements**

Among the main results, it should be pointed out that: (1) the indigenous organizations that participated in the IEC GDC adequately managed IEC concepts and were able to transmit this information to their grassroots communities. Likewise, they were in a better position to make well informed and effective decisions of their own regarding whether or not to participate in such programs and to improve their participation therein; (2) The GDC strategy to work on a process, which begins with the identification of the type of capacities to be strengthened and which combines various methodologies, ensured the results of the intervention; and, (3) Impacts beyond the GDC intervention were achieved at the individual and organizational level to the extent that both men and women trainers assumed positions within their communities and their organizations and became candidates to take on new responsibilities in national and regional organizations.

*"I now represent the 32 affiliated communities, and the GDC opened the door for me to assume this executive position. In the GDC they made me aware that it was necessary for me to take this executive position and I feel proud now that my colleagues feel confident that all of the initiatives they can possibly generate will always be welcome. Because we as a federation have given them this opportunity, which is now a human resource available not only to them but also to other federations."(FECONAU coach)*

The project improved the institutional capacities on gender by motivating partner organizations to commit to the approach. The activity recognizes that factors that facilitated this success included securing political will at the managerial level of organizations, training the staff on gender issues, the development of institutional policies, and the inclusion of specific actions into organizational interventions, among others. An example of this is the promotion of gender equity in the life plans of

the Interethnic Development Association of the Peruvian Jungle - Ucayali, of which FECONAU is a member.

Among the main challenges to capacity development, the program identified: (1) budget problems to meet the organizations' demand for a greater number of replication workshops; (2) the need for a greater number of trainers and training sessions than anticipated given the requirements of the institution and the turnover among managers; and 3) the abandonment of female trainers to assume other responsibilities.

Moreover, monitoring and evaluation resulted in lessons learned, including: (1) the definition of a process and a comprehensive and multidisciplinary approach to the development of individual and organizational capacities, particularly in a specialized subject such as IEC, helps guarantee better results in indigenous institutions; (2) the previous analysis of the context, needs and interests of indigenous organizations made it possible to guarantee the commitment of the organizations and the success in learning IEC subjects, by guiding and defining - from the outset - the strategies to be used in the strengthening of capacities; (3) having from the beginning of the GDC a sustainability strategy, which foresees the appropriation of the topic by the organizations and identifies possible alliances with institutions with interest in the topic, contributed to ensure the future continuity of the intervention.

A valued program strategy was the dissemination of results achieved by the organization's radio programs, as well as the dissemination of training materials through the ICAA virtual platform.

This intervention used the HICD model to strengthen indigenous organizations and to develop capacities for leaders and members of the community. Their achievements bid us to review the experience and to use it as a guide in similar interventions, since it explicitly integrates the development of individual and organizational capacities as well as the incentive of alliances and synergies for CD, while employing gender and intercultural approach.

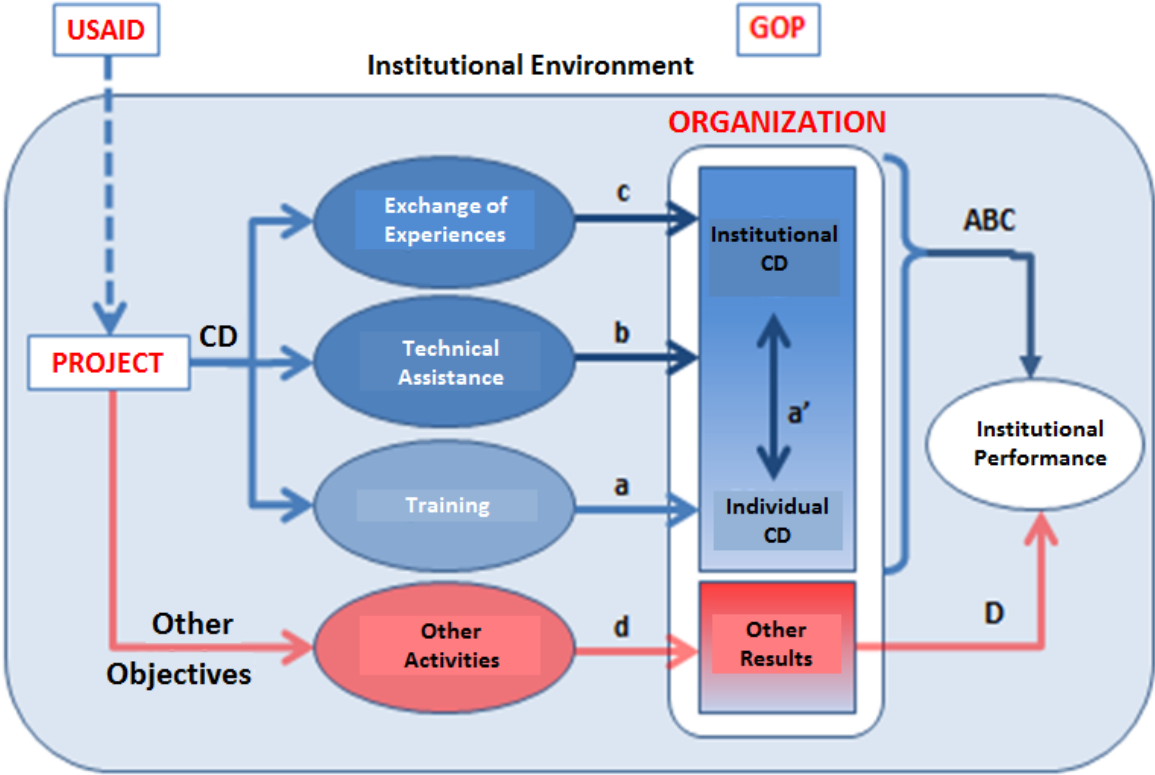
# 6. CONCLUSIONS AND RECOMMENDATIONS

This study represents an analytical and reflective process organizing available information on capacity development for select cases. For each case, the study identifies intervention processes, the factors being affected, and the relationships between these and the intervention results. Each case looks at the intervention dynamics to identify patterns and characteristics that could explain activity results.

In this study we have identified features that could be duplicated in future capacity development interventions at the institutional and individual levels. The findings obtained in each case support cross-cutting conclusions to the study questions, which in turn contribute to the definition of recommendations that respond to an aggregate vision of the USAID strategy and performance as a cooperating partner in the development of capacities for Peru.

Figure 12 illustrates an activity that includes a capacity development intervention. USAID, in its role in collaborating with the Peruvian government, finances the implementation of projects aimed not only at capacity development (CD), but other development objectives. Acting in their respective institutional environments, the seven selected activities developed interventions to train people (Indicators a), provide technical assistance (Indicators b), and experiential exchanges (Indicators c) at the institutional level. In addition to the interventions aimed at capacity development objectives, some of these projects develop other interventions (Indicators d), which eventually could have a relative (higher) importance in the activity.

Figure 12: About DC Operations



Prepared by: Macroconsult S.A.

The case study focuses on the experiences of the activities around the various capacity development activities (Indicators a, b and c). In principle, the development of capacities via training requires an effort to ascertain at the individual level, that is to say, at the level of what makes up the capacities, experiences, skills, attitudes and knowledge that enable the individuals' performance in an organization. However, every organization expects that the competencies developed by individuals will be institutionalized at the product level (Indicators 'a'), i.e. that the link between training at the level of individual capacities and its effect on an institutional capacity is ensured and will contribute to the attainment of institutional achievements (verifiable at the level of results, with Indicators A, B, C and D).

Based on the seven cases, below is a presentation of the conclusions from the capacity development experiences in the selected projects. These conclusions, in turn, contribute to a set of recommendations to USAID regarding possible future capacity development interventions.

Consistent planning and effective achievement of results require institutional capacities in the public sector; thus, the development of such capacities becomes the means to allow, over time, individuals, organizations, and society in general, to be transformed by strengthening their ability to establish and achieve their own development objectives. In the development of capacities, attention is paid to the empowerment and the strengthening of endogenous capacities. At the organizational level, this development is reflected in the structure, policies and internal procedures affecting organizational effectiveness, starting with visionary leadership, access to knowledge and mechanisms of accountability to the people, as the catalysts of changes in capabilities. In an organization capable of learning, these institutional capacities are reached at the strategic and tactical level as well as in the members of the institution responsible for operational implementation.

## 6.1. Conclusions

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### Model and Methodology

- Capacity development is employed by projects with diverse methodological approaches, in most of the cases aiming to achieve institutional development. In the case of training activities, the design of interventions does not specify the link between training and the institutional component.
- In projects clearly targeting the development of capacities, either as a general objective or as a specific intermediate result, the methodological design is derived from a theoretical conceptual model or developed from previous experiences.
- When the purpose of the project is directed to non-capacity development objectives, the design of an intervention aimed at the development of capacities does not necessarily refer to a specific theoretical model or approach, which, among other features, considers gender and intercultural approaches. The determination of activities and the use of tools, therefore, functionally respond to an implicit methodology, defined according to the implementation process. This can make the objective verification of results difficult.
- The gender and intercultural issues are addressed differently according to each project's understanding of these issues and the social and institutional context that they face.

### Implementation

- In general, it is not common for a capacity development activity to have available, from the outset, the instruments that contribute to the identification of opportunities and risks for the viability of the capacity development activities. For example, an initial contextual diagnosis of the counterpart

would allow for the recognition of the validity of activity design assumptions, and would allow for the management of the context, as well as the adaptation of the intervention design.

- In the interventions that develop capability strengthening activities in response to counterpart demand, the size and characteristics of the gap to be dealt with are known and determined mainly by the institution's leadership. Moreover, capacity development activities that provide an ad-hoc response to the needs of the counterpart facilitate the process at the institutional level, which encourages sustained institutional change because the intervention is designed by or with the counterpart.
- In interventions that carry out capacity development activities according to the counterpart requirements, where the counterpart generates and guides the process according to its needs and institutional capacities, a dynamic and direct relationship is established with senior management. At the intervention level this results in a close joint working relationship. At the same time, in certain projects, the assessment of capacity development needs is aimed at the individual without targeting the achievement of sustainable institutional capacities. In the case of interventions whose purpose is the development of individual capacities, or includes a significant individual component, the implementation of capacity building activities is generally well-accepted by the participants.
- In some projects, the capability development needs assessment only covers individual training needs, without showing how this would contribute to the achievement of sustainable institutional capacities. There are cases that define the link between individual and institutional capacities through the development of institutional products during the individual capacity development process.
- There are technical assistance activities that are carried out as a complement to the counterpart institutional arrangements, but without clearly defining the design, implementation and monitoring of this intervention. Consequently, at the institutional level, it is difficult to define the capacity development that should result from the activity and its specific contribution to the expected result, as well as the mechanisms to ensure the institutional integration of individual training.
- In certain cases, technical assistance activities to prepare counterpart institutional documents does not include socialization or training for the organization's personnel regarding their use, scope and institutional function.
- In capacity development interventions based on the prior description of the counterpart's institutional context, the process of engaging relevant actors becomes significantly easier, as does obtaining an institutional commitment to evaluate performance and the implementation of solutions.
- Gender and intercultural issues are addressed differently in each project. In most cases, they are not included in assessment documents and analyses that would substantiate subsequent related strategies and actions.
- The projects aimed at capacity development carry out their activities within the framework of a bilateral agreement, basically following the implementation mechanisms of each activity and verbal agreements made with the authorities acting as representatives at a given time. The degree of progress reached by the project is vulnerable to this last contingency.

- USAID support<sup>28</sup> to the activities significantly contributes to reinforcing counterpart commitment and facilitating the intervention's viability and the achievement of expected results.
- The critical weaknesses identified in capacity development processes of some projects include: the absence of an explicit definition of the capacity development model, an absence of a strategy to address the frequent turnover of staff and workers, and financial dependence on the activity because of a lack of funding by the institutions developing joint activities.

### **Determining the degree of progress towards results**

- The documentation of progress is not homogeneous among the activities, as they do not share reporting requirements or content templates. This meant that determining the progress achieved by the various interventions presented different degrees of difficulty.
- In relation to monitoring and evaluation, depending on their objectives, the projects develop different monitoring systems based on data collection and management platforms with varying levels of security and reliability. In most cases, the indicators are linked to the processes and products resulting from capability development activities, and it is uncommon to find indicators referring to the effects or impact of the intervention on the counterpart's institutional performance.
- In certain cases, the capacity development methodology includes instruments that will facilitate the verification of progress. The study found that projects with an explicit methodology for capability development record their gender and intercultural approaches, have indicators and develop monitoring, evaluation and feedback mechanisms for such interventions. In the other cases, reporting of capacity development interventions is produced in a scant detail by the personnel responsible for the entire project's M&E.
- Monitoring systems in activities aimed at capacity development do not record important assumptions regarding the institutional context of the activity, nor do they systematically observe their evolution and/or trends. The greater the institutional complexity, the more reasonable it is to assume that the absence of systematic monitoring of the environment represents a proportional risk for the project to achieve the expected results.
- Interventions with a defined methodology for developing capacities have a set of instruments to follow the progress in terms of results. The monitoring of training activities have a tendency to show improvements, since the intervention progress, in some cases, is measured through output indicators such as attendance lists and entrance and exit testing.
- In an intervention in which the development objective is not focused on developing capacities, activities such as the establishment of baselines or at least an initial situational assessment, as well as the evaluation of change in the capacities of the counterpart, are infrequent.
- Capacity development activities are not directly monitored in terms of the expected results at the level of individual competencies and/or by gains in institutional capacities (for example, guidance in the preparation of documents or counterpart institutional activities). These results are calculated indirectly, as they are deduced by the general achievements attained by the counterpart. Focusing on

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<sup>28</sup> The complement includes advocacy and support activities in coordination with institutions of different levels of government; technical support and periodic feedback meetings; identification, discussion and dissemination of lessons learned and successful experiences of the individual project and of other similar projects, as well as participation in project activities and operations.

counterpart achievements to corroborate the effectiveness of capacity development activities assumes that there is a lower level of influence of other institutional or contextual determinants.

- In interventions with an objective closely related to capacity development or with a specific capacity development component, the results available from activity monitoring are used for evaluation and feedback, and eventually for replication and experiential exchange.
- In most cases, it is not common for an understanding of gender and intercultural issues to be addressed in assessments and analyses of these issues such that they would inform subsequent strategies and actions to address them in the intervention.

## Results Achieved

- In all cases, the projects report the satisfactory achievement of their expected results in relation to capability development and institutional change. This is supported, for each case, by different sources and the context of the counterpart's current commitments and interests. For example, for illustrative purposes, reporting shows:
  - **At the institutional level**, an improvement in the competencies of counterpart staff, such as in the case of performance improvements reported for coaches and teachers (Amazonia Reads); or the improved handling of corruption crimes in the opinion of the participants of the diploma program (Pro-Integridad).
  - **Progress is recognized at the institutional performance level.** Reporting indicates a reduced time for distributing educational materials and an increase in institutional capacity index for sub-national governments (ProDescentralización); as well as the preparation of the required documentation and corresponding training for the constitution and functioning of the Regional Environmental Authority (Peru Bosques); or the availability of an information platform (PFSI).
  - **Experiential exchanges with effective results.** According to interviewees, this strategy has allowed decision makers to understand and visualize the scope of the proposed project, which has facilitated institutional capacity development process (PFSI).
  - **Positive changes among the population.** For example, the leadership shown by DEVIDA in the alternative development components of socialization and productive activities in participating communities has apparently enabled the presence of and an effective performance by institutions that did not exist a few years ago in the Monzón Valley (NAP). The improvement of school performance (Amazonia Reads) and the incorporation of tools into national policy, or the adoption of legal frameworks that support and promote coordinated management in sub-national governments (ProDescentralización) can be correlated with positive learning results in the school population.

## 6.2. Recommendations

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### Model and Methodology

- With respect to the general purpose and specific objectives of an intervention, project design requires a more precise delineation of the capability development component, in order to clearly distinguish the corresponding activities, budget and related monitoring tasks. In the case that a

transversal capability development component is included, specify the budget and the team required to implement such specific activities.

- In any capacity development intervention, either as a component, or particularly when it comes to an activity's purpose, it is crucial for intervention designs to specify the model and methodologies being used, including:
  - An explanation of the conceptual framework (including gender and intercultural approaches based on the corresponding situational assessment);
  - An objective presentation of the characteristics of the implementation method, as well as the priorities and intervention types, including, also, details and indicators of the monitoring system and data sources. To do so, consider carrying out a counterpart assessment, which makes it possible to identify perceived needs, as well as the social and institutional context;
  - An explanation of the link between the capacities developed at the individual level and those that are expected at the institutional level;
  - A determination of the necessary instruments for the implementation of capacity development activities (capacity assessment, capacity development plan, periodic reports and evaluation reports);
  - Training of project personnel in the specific model or methodology for the development of capacities and their concepts (this includes the preparation of a standardized glossary of terms for capacity development).

## Implementation

- Projects begin implementation with a contextual assessment of the counterparts that identifies the opportunities and risks of the socio-political environment in relation to the capacity development objectives and to improve the definition of assumptions. This is best achieved using a participatory approach. The assessment will make it possible to better distinguish the contribution of the project to the achievements made by the counterpart while enabling risk management and/or the timely adjustment of the intervention strategy.
- Projects should prioritize the description of current performance and the identification of capacity development needs in the institutional component to guide the assessment towards personal capacity development activities that are linked and contribute to defined sustainable institutional performance. Define clear and applicable strategies for the institutionalization of capacities, demonstrating the link between those at the individual and the institutional level.
- Consolidate USAID support for the intervention in order to facilitate counterpart institutional commitment, as well as the viability and the scope of the activity results.
- Establish specific and explicit agreements with counterparts as a mechanism to promote the sustainability of achievements.
- In the case of products that are institutional documents prepared with the technical assistance from the project, ensure the socialization and training of counterpart staff on their use and scope in addition to the institutional function of such products.

- In the case of interventions with a strong component of working with communities to change attitudes, it is recommended that capacity development beyond technical capacities, because the field intervention also requires the application of soft skills.
- When the intervention is focused on the implementation and functioning of an institution or organizational unit, ensure that capacity development activities consider not only a design, but also funding (financing of infrastructure and personnel required), in order to empower regional and local governments based on the articulation of public players. This would mean incorporating activities that foment inter-institutional collaboration through the creation or reactivation of coordination mechanisms.
- In order to reduce the intervention's vulnerability to the election processes and the consequential turnover of sub-national authorities, a line of strategic communication must continue among all activities with the objective of positioning themselves before the entire political class.
- The projects should propose initiatives to mitigate the effect of counterpart staff turnover.
- Work with SERVIR to develop joint initiatives for the development of individual capacities.

### **Determining the degree of progress towards results**

- Verification of the change in institutional capacity is subject to the availability of an objective measurement instrument. Therefore, an activity's monitoring and evaluation plan must include baselines (or at least an initial capacity assessment), as well as the evaluation of counterpart institutional changes related to its capacity development.
- To distinguish the project's contribution to institutional capacity development, even in activities with an ad-hoc response to the counterpart's needs, an activity must use monitoring instruments that measure the targeted capacity changes. Thus, all activities such as training, technical assistance and experiential exchange should have defined indicators at the process level, the result level and, if applicable, the impact level, making particularly sure to validate the arguments for the (verifiable) effect that training individuals has on institutional capacity.
- In particular, ensure that capacity development activities have monitoring instruments that allow them to measure institutional capacity.
- Contribute to all activities having a flexible, safe and reliable online information system for the collection, storage and management of standardized data.
- Given the institutional complexity and the eventual change in the institutional environment, ensure that the capacity development activities monitor the validity of assumptions, reporting any changes on an annual basis as well as reflecting lessons learned in mid-term evaluations.
- Clearly define the monitoring of technical assistance activities (for example, guidance on the preparation of the counterpart's documents or institutional activities). This will make it possible to distinguish the project's contribution to the counterpart's capacity development.
- Activities that carry out capacity development in response to counterpart needs, or whose purpose is capacity development, or that have a significant capacity development component, should ensure that the activity has, from the outset, a monitoring and evaluation system with indicators that measure not only activity implementation, but results.

## Results

- To remain flexible in pursuing results, outcomes and objective, ensure that activities report the identification of obstacles and lessons learned in the mid-term and final evaluations, as well as in the annual reports of the project.
- Ensure the definition of clear and applicable strategies for the institutionalization of products developed by the intervention, demonstrating a link between those at the individual level and those at the institutional level. Specifically, include actions aimed at the sustainability of achievements made at the institutional and individual levels, including activity achievements regarding institutional and individual change by the counterpart in progress reports.
- Carry out an impact study, in order to identify any attributable changes at the counterparts and to promote future activities to make them sustainable.

### 6.3. Lessons learned

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- The application of a comprehensive and systemic model that integrates the development of individual, organizational and environmental capacities, and which is defined before the intervention, will contribute to better results in the development of institutional capacities.
- The prior analysis of the context, the needs and the existing capacities of an organization, will guide, from the outset, the choice of strategies that should be used in capacity development.
- The empowerment of managers, leaders and workers is a benefit of participatory interventions. This empowerment serves the interest of participating institutions and of the intervention environment and contributes to the activity's sustainability.
- Capacity development interventions that are included in an institution's operational plan, especially in the case of public institutions, are more likely to be funded and, therefore, are more sustainable.
- The implementation of a strategic communication plan benefits the organizational articulation of the intervention and the sustainability of achievements in the face of frequent manager and staff turnover.
- The establishment of specific capacity development indicators allows for the monitoring of related results.

In conclusion, these seven case studies reveal the peculiarity and complexity of the design, implementation and follow-up of capacity development interventions across Peru. Important results have been achieved. Taking into account the study recommendations, there is room to strengthen the quality of future institutional and individual capacity development interventions and to have greater impact on the country's development.

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# ANNEX I: TÉRMINOS DE REFERENCIA

## ESTUDIO DESARROLLO DE CAPACIDADES EN PROYECTOS SELECCIONADOS DE USAID

### I. PROPOSITO DEL ESTUDIO

El estudio tiene como propósito proporcionar a USAID, especialmente al equipo involucrado en la elaboración de la nueva estrategia de cooperación de país (CDCS), los insumos necesarios para una propuesta de desarrollo y fortalecimiento de capacidades.

Con este propósito se revisarán las propuestas de desarrollo de capacidades, implementación y resultados de siete proyectos implementados durante el período 2012-2016.

Los objetivos del estudio son:

- Identificar y describir el modelo y la metodología que aplicó el proyecto para el desarrollo de capacidades.
- Describir el proceso de implementación del modelo y la metodología para el desarrollo de capacidades.
- Describir el proceso de seguimiento (monitoreo) para determinar el logro de los resultados.
- Identificar los resultados logrados en la capacidad institucional y de las personas.

### II. PROYECTOS SELECCIONADOS

El estudio abarca siete proyectos seleccionados que se muestran en la Tabla 1:

Tabla 1: Proyectos seleccionados según implementador y Objetivo de Desarrollo de USAID

Proyectos seleccionados	Implementador	Fecha de Inicio	Fecha de culminación	
Objetivo 1: Incrementar las alternativas a los cultivos ilícitos de coca en las regiones seleccionadas.				
1	Incrementar las alternativas a los cultivos de coca en las regiones seleccionadas	New Alternatives Venture	9/04/2013	8/04/2017
Objetivo 2: Mejorar la gestión y calidad de los servicios públicos en la Amazonía				
2	Amazonía Lee: Desarrollo de la capacidad y compromiso	Universidad Peruana Cayetano Heredia (UPCH)	23/01/2015	22/01/2018
3	Descentralización y gobernanza local (Pro Descentralización)	Tetra Tech/ARD	15/10/2012	14/10/2017
4	Promoción de la Justicia y la Integridad en la Administración Pública (Pro-Integridad)	Tetra Tech/DPK	15/02/2013	14/02/2016
Objetivo 3: Gestionar de manera sostenible los recursos naturales en la Amazonía y en las zonas de glaciares altoandinos				
5	Manejo ambiental y apoyo a la gobernabilidad forestal (Perú Bosques)	Chemonics International	8/07/2011	7/07/2016
6	Iniciativa del Sector Forestal Peruano (PFSI)	Servicio Forestal de los	1/09/2011	31/08/2016

		EEUU		
7	Iniciativa para la Conservación en la Amazonía Andina (ICAA)	International Resources Group LTD.	01/09/2011	31/12/2015

### III. ANTECEDENTES

#### A. El Problema

Históricamente USAID ha realizado grandes inversiones en capacitaciones y asistencia técnica para el desarrollo de capacidades. Cada año apoya en la capacitación de cientos de miles de ciudadanos y residentes del país anfitrión, quienes son parte de los programas y proyectos patrocinados por la Agencia (USAID, 2010).

USAID reconoce que la capacitación no tiene impacto hasta que el conocimiento y las habilidades adquiridas por los capacitados sean aplicados en una situación de trabajo específica, que a su vez resulta en una mejora medible del desempeño. Así pues, una capacitación exitosa de USAID no debe ser medida únicamente en términos de cifras de personas capacitadas, sino en la contribución de los capacitados a la mejora del desempeño de la organización (USAID, 2010).

Los siete proyectos seleccionados (Tabla I) ejecutan o han ejecutado intervenciones relacionadas con el desarrollo de capacidades, las cuales se reflejan en sus marcos de resultados. Estas incluyen diversas actividades, entre ellas la asistencia técnica y la capacitación, las cuales están dirigidas a superar los vacíos en las habilidades, aptitudes, actitudes y conocimientos; así como para hacer frente a otras barreras del desempeño relacionadas con los procesos, el ambiente de trabajo, las herramientas, equipos, lineamientos e incentivos, entre otras.

En el estudio se considera que el desarrollo de capacidades, integrado a otras estrategias e intervenciones del proyecto, contribuye al fortalecimiento institucional.

#### B. Concepto de Desarrollo de Capacidades

La tendencia en la comunidad internacional del desarrollo es reemplazar la expresión “creación de la capacidad” por “desarrollo de la capacidad” (FAO, sf). El cambio refleja la evolución de un proceso dirigido desde el exterior que considera que no existen capacidades previas, a uno nuevo donde se valora que todos los contextos tienen algunas capacidades, y lo que necesitan es apoyo para implementar procesos de transformación desde el interior, en base a sus prioridades, políticas y resultados deseados (Programa de Naciones Unidas para el Desarrollo, 2008).

Para propósitos del presente estudio, se entenderá por Desarrollo de Capacidades (DC), lo siguiente:

“Son los enfoques, estrategias o metodologías usadas por USAID y sus aliados para cambiar, transformar y mejorar el desempeño a nivel individual, organizacional, sectorial o a nivel más amplio del sistema” (USAID, 2014)

Se utilizará como referente el Human and Institutional Capacity Development Handbook de USAID (HICD).

#### C. Descripción de los Proyectos Seleccionados

C.I El Proyecto **Incrementar las Alternativas a los Cultivos de Coca en las Regiones Seleccionadas** (NAP) es ejecutado por *New Alternative Ventures* desde el 2013. El proyecto tiene dos

componentes: 1) Comunidades en transición y 2) Comunicación para resultados (Ver figura 1 del Anexo 1).

A través de ambos componentes, el proyecto apoya a la Comisión Nacional para el Desarrollo y Vida sin Drogas (DEVIDA), en todo el proceso de post erradicación en comunidades que optan por el desarrollo alternativo. Entre sus objetivos está el fortalecimiento institucional, instalación y mantenimiento de cultivos como cacao y café, participación de la mujer, gestionar al máximo el uso de recursos para mejorar la infraestructura social y económica, comunicaciones para el cambio de comportamiento, asistencia técnica (escuelas de campo), asociatividad y comercialización, y fortalecimiento de capacidades para mejorar la capacidad de organización y gestión comunitarias.

C.2 El proyecto **Amazonía Lee: Desarrollo de la capacidad y compromiso**, es ejecutado por la Universidad Peruana Cayetano Heredia (UPCH). El objetivo del proyecto es desarrollar las capacidades de gestión educativa de las Direcciones Regionales de Educación (DRE) de San Martín y Ucayali para el mejoramiento de los aprendizajes de la lectura de los estudiantes de los primeros grados de educación primaria (ver Figura 2 del Anexo 1). Para ello articula cinco componentes: desarrollo de materiales, capacitación, liderazgo, conciencia y soporte externo.

El proyecto fortalece las capacidades de los funcionarios, especialistas y formadores de docentes de ambas DRE, así como las capacidades de los directivos de las instituciones educativas participantes; apoya a dos instituciones formadoras de docentes (una en cada región) y a funcionarios de los gobiernos regionales de manera que puedan coordinar alianzas con instituciones privadas. Las principales actividades de desarrollo de capacidades se dan a través de talleres de capacitación y pasantías a los funcionarios, así como asesoría y acompañamiento en la gestión de los proyectos de desarrollo educativo. Los especialistas y formadores, participan de un programa formativo que incluye talleres presenciales, asesoría y acompañamiento en el campo, círculos de interaprendizaje y sesiones demostrativas. En el caso de los directivos, se desarrollan talleres presenciales, asesoría, se brinda acompañamiento en la institución educativa y se desarrollan mesas de directivos.

C.3 El Proyecto **Descentralización y gobernanza local** (ProDescentralización) es ejecutado por Tetra Tech/ARD. ProDescentralización contribuye con el gobierno peruano en mejorar la gestión descentralizada para una efectiva prestación de servicios de salud, educación y medio ambiente, en favor de las poblaciones más vulnerables de la Amazonía, para lo cual desarrolla sus actividades promoviendo la articulación de los diferentes niveles del gobierno, organizaciones privadas y de la sociedad civil. Su ámbito de intervención abarca las regiones Amazonas, Loreto, Madre de Dios, San Martín y Ucayali y en políticas, el nivel nacional.

ProDescentralización, espera obtener los siguientes resultados: 1) mejorar las políticas y reformas claves que directamente impactan en la descentralización, 2) fortalecer entidades sub nacionales para la prestación de servicios públicos eficaces y 3) mejorar la transparencia gubernamental y los procesos de participación y vigilancia ciudadana (ver Figura 3 del Anexo 1). Para ello ofrece asistencia técnica a nivel nacional, regional, local y a la sociedad civil para el desarrollo, discusión e implementación de políticas y reformas de manera efectiva. Como parte de la estrategia de fortalecimiento de capacidades utiliza dos herramientas participativas: a) *Functional Organization Capacity-Building Process Framework* (FOCAS) y b) *Quality Service Improvement Program* (QSIP). La primera herramienta sirve para focalizar la capacitación y asistencia técnica ad hoc y así mejorar las capacidades operativas del sistema y habilidades de las personas, y la segunda para mejorar la prestación de servicios. Los materiales y guías existentes de FOCAS y QSIP han sido adaptados a las características particulares del contexto peruano. Estas

herramientas también son utilizadas para el trabajo con las organizaciones de la sociedad civil con la finalidad de elaborar planes de capacitación y asistencia técnica.

C.4 El proyecto **Promoción de la Justicia y la Integridad en la Administración Pública** (Pro-Integridad) fue ejecutado por Tetra Tech/DPK con el propósito de apoyar las medidas adoptadas por el Estado peruano para reducir la corrupción en la administración pública y fortalecer el estado de derecho mediante actividades en apoyo a la reforma de la justicia penal. Los tres objetivos del proyecto fueron: (1) incrementar la capacidad del sistema judicial para resolver casos de corrupción; (2) promover la adopción de un modelo de integridad institucional en el sector justicia; y, (3) fortalecer la capacidad del sistema judicial para enfrentar la corrupción por medio de un compromiso efectivo de la sociedad civil (Figura 4 del Anexo I).

Para el logro del objetivo 1, Pro Integridad desarrolló herramientas y brindó asistencia técnica para mejorar la gestión del Ministerio Público, Poder Judicial y Procuraduría Pública. Las principales actividades fueron; a) elaboración de línea de base de la aplicación del Código Procesal Penal, b) diagnóstico e identificación de áreas de mejora en el despacho corporativo judicial y fiscal, c) elaboración de manuales, y d) asistencia técnica internacional (talleres y visitas de estudio).

Asimismo, el proyecto desarrolló un Diplomado de Especialización en Delitos de Corrupción de Funcionarios en base a una auto-evaluación de jueces y fiscales del sub sistema anticorrupción sobre sus necesidades de capacitación en esta materia. El Diplomado tuvo la modalidad semipresencial y fue desarrollado por el Instituto de Democracia y Derechos Humanos de la Pontificia Universidad Católica del Perú (IDEHPUCP). Las actividades estuvieron dirigidas a los distritos judiciales de Lima, Callao, Amazonas, Loreto y San Martín.

El objetivo 2 fue implementado sólo en el Ministerio de Justicia con el objetivo de mejorar la cultura de integridad institucional de la organización. Respecto al objetivo 3, el proyecto empleó la modalidad de donaciones a contrapartes como: Comisión Andina de Juristas (CAJ), Fórum Solidaridad y PROETICA para que puedan implementar actividades que involucren a la sociedad civil buscando fomentar su rol de vigilancia en casos de corrupción.

C.5 El proyecto **Actividad de apoyo en manejo ambiental y gobernabilidad forestal** (Perú Bosques) se dio en el marco de la firma del Acuerdo de Promoción Comercial entre Estados Unidos y Perú, con el propósito de promover una nueva economía del bosque, de carácter inclusiva, lícita, rentable y sostenible. Con dicho propósito apoyó i) al Gobierno peruano en la mejora de la institucionalidad, la normatividad forestal y su implementación, para la gestión eficiente de los recursos forestales, y ii) a las empresas forestales y comunidades para mejorar sus procesos productivos, capacidad de gestión y acceso a nuevos mercados. La implementación del proyecto se basa además en tres ejes transversales: comunicación, enfoque de género y, administración y operaciones (Ver figura 5 del Anexo I).

Las principales acciones que realizó el proyecto fueron: a) brindar apoyo técnico y logístico al Servicio Nacional Forestal y de Fauna Silvestre (SERFOR) en el desarrollo del reglamento y normas técnicas de la nueva Ley Forestal y de Fauna Silvestre a través de procesos inclusivos y participativos, b) proveer de capacitaciones, apoyo técnico y equipos para fortalecer las agencias del sector público forestal a nivel nacional y regional, c) diseñar e implementar con SERFOR la plataforma web del Módulo de Control del Sistema Nacional de Información Forestal y de Fauna Silvestre (MC-SNIFFS). Para promover el uso del bosque dirigido a conservación de los paisajes forestales, se realizó: a) acompañamiento a concesionarios forestales y comunidades nativas para mejorar la gestión forestal y promover la conservación de la biodiversidad y b) capacitación y asistencia técnica en el fortalecimiento de micro y pequeñas empresas que utilizan los productos forestales con el fin de acceder a mercados nacionales e internacionales.

C.6 El proyecto **Iniciativa del Sector Forestal Peruano** (PFSI) es ejecutado por el Servicio Forestal de los Estados Unidos. El objetivo de PFSI es contribuir a la gestión sostenible de los bosques en el Perú mediante el desarrollo de capacidades técnicas, herramientas y metodologías y el fortalecimiento de los actores clave en el sector público y privado (ver Figura 6 del Anexo I).

PFSI proporciona asistencia técnica utilizando la experiencia profesional del Servicio Forestal de los Estados Unidos. Estos expertos técnicos vienen al Perú para ofrecer capacitación o asistencia técnica directa a los interesados nacionales o regionales, y también reciben a peruanos en las diversas sedes del Servicio Forestal de los Estados Unidos y sus entidades asociadas. Su ámbito de intervención abarca las regiones Amazonas, Loreto, Madre de Dios, San Martín y Ucayali y en políticas, el nivel nacional.

C.7 La **Iniciativa para la Conservación en la Amazonía Andina** (ICAA) ha sido un programa regional de largo plazo, conducido por *International Resources Group*, que sumó e integró los esfuerzos de más de 30 organizaciones socias, locales e internacionales, para fortalecer la conservación del bioma amazónico en Colombia, Ecuador y Perú. Las organizaciones participantes estuvieron organizadas en cinco consorcios quienes trabajaron en los países mencionados bajo un marco estratégico común.

La primera fase de ICAA, se desarrolló del 2006 al 2011 y tuvo como objetivo principal: construir capacidades locales y compromisos para la conservación y el aprovechamiento sostenible de la biodiversidad y los servicios ambientales. La segunda fase se desarrolló del 2011 al 2015, y tuvo los siguientes objetivos: 1) contribuir con la reducción de la tasa de deforestación y la pérdida de biodiversidad; 2) lograr que los aspectos clave de gobernanza de recursos naturales funcionen de manera más efectiva; y 3) mejorar la calidad y la sostenibilidad de los medios de vida de las poblaciones amazónicas (Ver figuras 7 y 8 del Anexo I).

Con ese fin, ICAA concentró sus esfuerzos en el fortalecimiento de las capacidades de los gobiernos y la sociedad civil en cuatro temas principales: manejo sostenible de paisajes, gobernanza de recursos naturales, incentivos económicos para la conservación, comprensión de problemas ambientales y posibles soluciones. También priorizó cinco temas transversales para potenciar los resultados esperados: política, género, pueblos indígenas, desarrollo de capacidades y fortalecimiento de instituciones regionales.

ICAA II se basó en las lecciones aprendidas de la primera etapa y tuvo un enfoque a nivel organizacional, es así que en este marco se desarrolló el Programa de Fortalecimiento de Instituciones Regionales (FIR), a través del cual buscó fortalecer a nueve instituciones de Perú, Ecuador y Colombia, que trabajan en la conservación de la Amazonía. El apoyo a las organizaciones tuvo un periodo de duración de 17 a 22 meses. El programa utilizó la metodología “Organizational Capacity Assessment Tool” (OCAT) propiciada por USAID y aplicó una herramienta para medir la capacidad organizacional.

El FIR incluyó acciones para el desarrollo de capacidades a la medida de las organizaciones beneficiadas y definidas por ellas mismas, acompañadas por el soporte de un “mentor” a lo largo de todo el proceso. Asimismo, comprendió el reforzamiento en temas administrativos y organizacionales, clave para el funcionamiento y cumplimiento de la misión de las organizaciones involucradas.

El ámbito de intervención abarca las regiones de Madre de Dios, Ucayali, San Martín y Loreto.

#### IV. PREGUNTAS DEL ESTUDIO

El estudio deberá responder a cuatro preguntas claves:

1. ¿Cuál es el modelo y la metodología que aplica (o aplicó) el proyecto para el desarrollo de capacidades?

2. ¿Cómo implementan (o implementaron) los proyectos el modelo y la metodología para el desarrollo de capacidades?
3. ¿Cómo se determina (o determinaron) el logro de los resultados de las intervenciones de desarrollo de capacidades?
4. ¿Cuáles han sido los resultados logrados en la capacidad institucional y en las personas como consecuencia de las intervenciones de los proyectos?

La primera pregunta se refiere a la conceptualización que tiene (o tuvo) el proyecto sobre desarrollo de capacidades y cómo esta se traduce en un modelo y en una metodología que aplica (o aplicó) el proyecto, describiendo si el modelo y la metodología involucra a las personas y a la institución de manera integrada o solo a una de ellas, y los referentes o criterios que consideraron en esta definición (por ejemplo, contar con un diagnóstico institucional). Interesa también saber cuál es la referencia que dio origen al modelo o metodología, por ejemplo, su relación con el ADS y Manual HICD de USAID; y cuáles las definiciones aplicadas para los términos, desarrollo, mejora y fortalecimiento de capacidades, así como para competencias, capacidades, habilidades, y demás conceptos.

La segunda pregunta aborda cinco temas:

- a) El primero está relacionada con los *procesos* que aplica (o aplicó) el proyecto para el desarrollo de capacidades. En este análisis se tomará como referencia el HICD, que incluye la obtención del compromiso institucional, los mecanismos para el involucramiento de los interesados, la conformación del equipo responsable, el diagnóstico de la situación o de necesidades de desarrollo de capacidades, el plan de intervenciones/actividades<sup>29</sup> con el presupuesto, y su implementación. Asimismo, los mecanismos para la integración del desarrollo de las capacidades de las personas con el desarrollo institucional.
- b) El segundo tema tiene que ver con la *capacitación*, sus niveles<sup>30</sup> y cómo se determinan la selección de los participantes, la identificación de las necesidades de capacitación, los criterios que se aplican para establecer las actividades (talleres, cursos, pasantías, aprendizaje entre pares, la mentoría, diplomados, etc.) y los niveles de evaluación<sup>31</sup>.
- c) El tercero está relacionada con las actividades de *asistencia técnica en servicio* (AT) es decir el acompañamiento técnico especializado que se realiza a las personas y equipos de trabajo en las mismas instituciones, para superar las brechas identificadas en el diagnóstico inicial. Abarca la identificación de las necesidades, los criterios para determinar los mecanismos de AT, las actividades y métodos de AT (por ejemplo: coaching, demostraciones, acompañamiento, reuniones técnicas, etc.), la organización, ejecución y evaluación de las actividades y métodos de AT.

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<sup>29</sup> El plan de intervenciones para el desarrollo de capacidades incluye: la capacitación, la asistencia técnica en servicio (AT) que puede ser presencial y a través de las tecnologías de información y comunicación (TIC), el intercambio de experiencias, entre otros.

<sup>30</sup> Los niveles de capacitación son tres: 1. Orientación/inducción 2. Preventivo-correctivos (abarca la capacitación en procedimientos o procesos nuevos y en el cierre de brechas de las competencias/capacidades) 3. Perfeccionamiento o especialización (son las actividades de posgrado que implican mayor duración tales como diplomados, especialización y maestrías).

<sup>31</sup> Los niveles de evaluación de la capacitación según D. Kirkpatrick son cuatro: reacciones, aprendizaje, conductas y resultados.

- d) El cuarto tema trata del *intercambio de experiencias* que incluye los criterios para definir una experiencia exitosa, la organización, ejecución y evaluación de éste intercambio.
- e) El quinto tema se refiere a la *aplicación de enfoques* de género e interculturalidad en las actividades de desarrollo de capacidades.

La tercera pregunta involucra las actividades para determinar el logro de los resultados, incluye el seguimiento de las intervenciones/actividades, los indicadores utilizados para determinar el avance en el desarrollo de capacidades, los instrumentos de recolección de la información<sup>32</sup> de los principales indicadores de desarrollo de capacidades, y cómo se utilizan los resultados de este seguimiento.

La cuarta pregunta incluye los principales nudos críticos en el proceso de desarrollo de capacidades, las lecciones aprendidas para futuros programas y proyectos, los resultados que se han alcanzado para asegurar la apropiación, la institucionalización, la sostenibilidad y cómo se difunden los resultados.

## V. DISEÑO Y METODOLOGÍA DEL ESTUDIO

### A. Diseño del Estudio

El estudio debe ser realizado a través de estudio de casos mediante análisis de documentos y de base de datos informáticas, de ser necesario se realizará entrevistas para la complementación de la información.

Se considera que el estudio de casos “es un método de aprendizaje acerca de una situación compleja; se basa en el entendimiento comprensivo de dicha situación el cual se obtiene a través de la descripción y análisis de la situación la cual es tomada como un conjunto y dentro de su contexto”.<sup>33</sup>

Cada proyecto será abordado como un caso aplicando los mismos criterios para cada uno de ellos. Al culminar el estudio de caso de los siete proyectos se hará un análisis global de los resultados que permita tener conclusiones, lecciones aprendidas y recomendaciones globales de acuerdo a las preguntas.

En la tabla 2 se incluyen las sub-preguntas y métodos sugeridos para abordarlas.

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32 Incluye los instrumentos y técnicas de recolección de datos.

33 Banco Mundial. Evaluaciones mediante Estudios de Caso. 2001., p.1.

Tabla 2: Matriz de enfoque integral

Preguntas Claves	Sub Preguntas		Métodos	Informantes clave (en los casos que se requiera)
¿Cuál es el modelo y la metodología que aplica (o aplicó) el proyecto para el desarrollo de capacidades?	¿Qué modelo y que metodología aplica para el desarrollo de capacidades? ¿Qué involucra el modelo y la metodología para el desarrollo de capacidades? ¿Qué referentes ha tenido para la elección de modelo y la metodología de desarrollo de capacidades?		Cualitativo Análisis documental Entrevistas semiestructuradas (donde corresponda) Cuantitativo Revisión base de datos	Responsables de programas y proyectos de USAID y del socio implementador. Responsables de desarrollo de capacidades de los proyectos. Responsable de M&A de proyectos. Beneficiarios según proyectos.
¿Cómo implementan (o implementaron) los proyectos el modelo y la metodología para el desarrollo de capacidades?	Estrategias e intervenciones	¿Cuáles son los mecanismos para obtener el compromiso institucional y el involucramiento de los interesados? ¿Cómo se identifican las necesidades de desarrollo de capacidades de las personas e institucionales? ¿Cuáles son las intervenciones que forman parte de los procesos para el desarrollo de capacidades? ¿Cuál el porcentaje total del presupuesto asignado para el desarrollo de capacidades? ¿Cuáles son los mecanismos para la integración del desarrollo de las capacidades de las personas con el desarrollo de la capacidad institucional?	Cualitativo Análisis documental Entrevistas semiestructuradas (donde corresponda) Cuantitativo Revisión base de datos	
	Intervención Capacitación	¿Cuáles son los niveles de capacitación que se desarrollan y cómo se determinan? ¿Cómo se identifican las necesidades de capacitación? ¿Cuáles son las actividades de la capacitación que se ejecutan (talleres, cursos, pasantías, mentoría, diplomados, entre otros)? ¿Cómo se organizan y ejecutan las actividades de capacitación? ¿Cuáles son los niveles de evaluación que se aplican para evaluar a los participantes de las actividades de capacitación?		
	Intervención Asistencia Técnica (AT)	¿Cómo se identifican las necesidades de asistencia técnica? ¿Cuáles son los criterios para la determinación de las actividades de AT? ¿Cuáles son las actividades que se aplican para la AT (ejemplo		

Preguntas Claves	Sub Preguntas		Métodos	Informantes clave (en los casos que se requiera)
		coaching, reuniones técnicas, tutorías, uso de TIC, acompañamiento, etc.)? ¿Cómo se organizan y ejecutan las actividades de AT? ¿Cómo se evalúan las actividades de AT?		
	Intervención Intercambio de experiencias	¿Cuáles son los criterios para la determinar una experiencia exitosa? ¿Cómo se organizan y ejecutan las actividades de intercambio de experiencias? ¿Cómo se evalúa las actividades de intercambio de experiencias?		
	Aplicación de enfoques	¿Cómo se incorpora el enfoque de género en las actividades? ¿Cómo se incorpora el enfoque de interculturalidad en las actividades?		
¿Cómo se determina el logro de los resultados de las intervenciones de desarrollo de capacidades?	¿Cómo se realiza (se realizó) el seguimiento de las intervenciones? ¿Cuáles son los indicadores utilizados para determinar el desarrollo de capacidades? ¿Cómo se miden los principales indicadores de desarrollo de capacidades? ¿Cómo se utilizan los resultados de este seguimiento?		Cualitativo Análisis documental Entrevistas semiestructuradas (donde corresponda) Cuantitativo Revisión base de datos	
¿Cuáles han sido los resultados logrados en la capacidad institucional y en las personas como resultado de las intervenciones de los proyectos?	¿Cuáles son los principales nudos críticos de los proyectos en el proceso de desarrollo de capacidades? ¿Cuáles son las lecciones aprendidas para futuros programas y proyectos? ¿Qué resultados se han alcanzado? ¿Qué mecanismos implementan para asegurar la sostenibilidad de las capacidades desarrolladas? ¿Cómo se difunden los resultados logrados en el desarrollo de capacidades?		Cualitativo Análisis documental Entrevistas semiestructuradas (donde corresponda)	

## B. Consideraciones Especiales

Género es un tema transversal en todos los programas de USAID según lo expuesto en la Política de Igualdad de Género y Empoderamiento de la Mujer (2012), por ende, se examinará su inclusión y tratamiento en los procesos de desarrollo de capacidades.

El segundo tema transversal es interculturalidad. El estudio describirá como ha sido considerado este aspecto en el proceso de desarrollo de capacidades.

## C. Métodos de recolección de información

Como se ha señalado, el estudio será ejecutado a través de estudio de casos, siendo el análisis documental la principal herramienta para la recolección de información. También se realizará el análisis de información de la base de datos de los proyectos y excepcionalmente, entrevistas a profundidad en los casos donde haga falta completar la información relacionada con las preguntas.

### Análisis documental

A través de esta herramienta se debe seleccionar la información e ideas relevantes del documento revisado a fin de dar respuesta a las pregunta del estudio. Los principales documentos que serán revisados se encuentran en el Anexo 2.

### Entrevistas en profundidad

Las entrevistas semi-estructuradas a profundidad se realizarán de manera complementaria a la revisión exhaustiva y análisis de documentos. El propósito de las entrevistas es aclarar y mejorar el nivel de comprensión de temas específicos relacionados con el desarrollo de capacidades implementado por el proyecto donde la documentación existente es insuficiente para generar respuestas a las preguntas del estudio. Dichas entrevistas se realizarían con informantes claves previa coordinación con el equipo de PGRD.

### Instrumentos

Se deberán diseñar y utilizar instrumentos para recoger y organizar la información de las diferentes fuentes.

Para las entrevistas semiestructuradas, el entrevistador deberá contar con una guía de preguntas que le permita una secuencia ordenada con el entrevistado. Estas preguntas deben complementar la información del análisis documental.

### Cuestiones Éticas para las entrevistas

Se deberán incluir las siguientes consideraciones éticas durante la recolección de datos:

**Consentimiento Informado.** Los informantes clave deberán responder las preguntas de la entrevista en forma voluntaria. Antes de cada entrevista, el entrevistador explicará la naturaleza del estudio y la información que proporcione, así como su derecho a la confidencialidad respecto a la totalidad o partes de la entrevista. Es deseable obtener el consentimiento por escrito de cada entrevistado, el cual incluye la autorización para realizar la entrevista, autorización para grabar la entrevista y autorización para citar entre comillas algunos textos de la entrevista identificando el cargo o posición institucional del entrevistado.

**Registro electrónico de la entrevista.** Al inicio de la entrevista, antes de encender los dispositivos de grabación se solicitará el permiso para el registro electrónico de las entrevistas. Se informará a los entrevistados que la grabación puede ser interrumpida en cualquier momento, si así lo solicitara.

#### D. Métodos de análisis

La información de las diversas fuentes, primarias y secundarias, se analizará de manera sistemática con la finalidad de producir evidencia que informe los hallazgos en relación a las preguntas del estudio.

#### VI. ENTREGABLES Y REQUERIMIENTOS

Este estudio se realizará en tres etapas. El cronograma descrito en la Tabla 3 es estimado y sujeto a revisión por parte del equipo consultor, debiendo ser consensuado con PGRD y USAID.

##### Trabajo Preparatorio (3 semanas)

En esta etapa se sientan las bases requeridas previas al comienzo del trabajo de gabinete y de campo. Empieza con una reunión de lanzamiento, con la participación de los representantes de USAID, PGRD y el equipo encargado del estudio, en la cual se aclaran las expectativas de USAID respecto al estudio, se identifican los documentos e informantes clave, y en general se facilita la información que pueda necesitar el equipo encargado

Durante las 3 semanas que dura el trabajo preparatorio, el equipo encargado revisará la información sobre los proyectos y diseñará la metodología para el abordaje de las preguntas del estudio, incluyendo los instrumentos para recojo de información adicional, de ser necesario. Definirá el proceso de recolección de información incluyendo el número y perfil de informantes a ser entrevistados especificando la necesidad de entrevistas según proyectos.

Además, el equipo definirá el Plan de trabajo que incluye el cronograma detallado de todo el proceso del estudio, incluyendo el tiempo de análisis de cada proyecto, análisis global y redacción del reporte final y roles, funciones y nivel de esfuerzo del equipo consultor.

**Entregable 1:** Informe de inicio o Inception Report (IR), brindará una descripción detallada y rigurosa sobre cómo se ejecutará el estudio de principio a fin. Incluirá cualquier modificación/ajuste a la metodología, actividades detalladas para la operacionalización del trabajo de gabinete con el equipo consultor, cronograma, y los anexos necesarios que incluyan los instrumentos de levantamiento de información y la lista de informantes clave.

Se espera que el IR incorpore la información obtenida de la revisión de toda la documentación disponible, de la reunión inicial de orientación, de entrevistas iniciales, según corresponda, y de cualquier otro trabajo preparatorio antes de comenzar el trabajo más exhaustivo de gabinete. El IR deberá ser claro, coherente, y no deberá tener pendientes en relación a las preguntas, diseño, o implementación del estudio. El IR debe ser aprobado por PGRD antes del comienzo del trabajo de gabinete más a profundidad, incluyendo posibles entrevistas en campo.

##### Organización y análisis de la información (5 semanas)

En esta etapa de 7 semanas se realizará la organización y análisis de la información para la elaboración de los estudio de casos. De ser necesario y acorde con el diseño de la recolección de datos, el trabajo de revisión documentaria se complementará con entrevistas semi-estructuradas a informantes claves seleccionados. A fin de mantener una comunicación apropiada con PGRD, el equipo entregará reportes breves quincenales, informando el progreso, actividades relevantes, problemas encontrados y sus soluciones.

**Entregable 2:** Informe de avance. En la 8ª semana se entregará un informe formal de avance del estudio de casos, describiendo las actividades ejecutadas y lo encontrado hasta ese momento.

Además se incluirá un índice anotado del informe final, que incluye los contenidos de cada sección según la estructura de informe recomendada. El propósito de este índice es asegurar anticipadamente que las tres partes interesadas principales (equipo evaluador, USAID, y PGRD) compartan una visión uniforme en relación al contenido del informe final.

**Entregable intermedio:** Una semana después de entregado el informe de avance, se entregará una presentación -en formato Ppt- de los hallazgos y conclusiones preliminares del estudio. La presentación se realizará a PGRD y USAID.

#### Elaboración del Informe (6 semanas)

En esta etapa el equipo deberá redactar el informe del estudio respondiendo a las preguntas principales, de acuerdo formato requerido y al índice de contenidos aprobado. El informe también habrá respondido a todas las recomendaciones y comentarios brindados por USAID y PGRD durante la presentación de hallazgos preliminares. El uso de diagramas y tablas que faciliten la comprensión del lector es esencial. Todos los archivos utilizados para el análisis serán compartidos con PGRD.

**Entregable 3:** Informe final para revisión a entregar en la semana 12: Esta versión del reporte final incluirá tablas, esquemas, índices, acrónimos, y anexos (a menos que los anexos sean extensos y se requiere una aprobación previa del equipo de PGRD) y será en el formato establecido por USAID, el cual habrá sido compartido previamente con el equipo evaluador. Las secciones principales del reporte no excederán las 40 páginas (sin incluir anexos).

**Entregable 4:** Informe Final: El informe final deberá incluir los comentarios, observaciones, y sugerencias realizadas por USAID y PGRD. Se espera que estas sean mínimas y muy específicas, dado el esfuerzo realizado en la preparación del informe preliminar.

El equipo evaluador realizará una presentación final del estudio en Power Point que se concentrará en los hallazgos, conclusiones y recomendaciones.

Con la entrega del reporte final, el equipo entregará los archivos electrónicos de las entrevistas, archivos documentarios y de la base de datos con su descripción técnica completa.

#### Cronograma

El equipo debe presentar los siguientes entregables asociados con los pagos, como se muestra en la Tabla 3 y párrafos subsiguientes.

El cronograma de entregables que deberá presentar el equipo evaluador y su aceptación será sujeto a la aprobación por escrito de PGRD.

Tabla 3

Relación de los entregables, fechas, y pagos

Etapas		Entregables	Fecha estimada	% del total de contrato
Preparatoria	1	Informe de inicio o Inception Report (IR)	3ª semana	20
Recojo y organización de información	2	Informe de avances. Presentación del índice de contenidos detallado del informe final PPT de hallazgos preliminares (a la 9ª semana).	8ª semana	25

Elaboración del Informe	3	Informe final para revisión de PGRD y USAID. Incluye resumen ejecutivo en castellano e inglés, antecedentes, metodología, presentación de los casos y principales hallazgos, conclusiones, y anexos requeridos	12ª semana	25
	4	Informe final que incorpora los comentarios de la revisión de PGRD y USAID. Presentación final del estudio	14ª semana	30

El cronograma refleja el nivel de esfuerzo del equipo evaluador y excluye el tiempo de revisión y aprobación de parte de PGRD y/o USAID.

## VII. FORMATO DEL INFORME FINAL DEL ESTUDIO

El equipo de PGRD y el equipo encargado del estudio trabajarán juntos para asegurar la alta calidad del informe final. También se evaluará el informe utilizando una lista de chequeo como referencia para asegurar la alta calidad técnica, que van desde un título adecuado, resumen ejecutivo, descripción de los proyectos, breve descripción metodológica, hallazgos y principales conclusiones, a partir de las cuales se derivarán recomendaciones.

El informe constará de las secciones siguientes:

**Resumen ejecutivo** (3-4 págs.) En inglés y castellano. Sintetiza los principales hallazgos, recomendaciones y lecciones aprendidas. No incluye información nueva no contenida en el informe.

**Propósito y preguntas del estudio** (1-2 págs.). Especifica claramente el propósito del estudio, el uso de los resultados y las decisiones a las que aporta evidencia y cuáles son las audiencias del reporte. Las preguntas del estudio (4) se articulan al propósito además de las preguntas sobre lecciones aprendidas se incluyen en esta sección.

**Contexto y antecedentes** (2-4 págs.). En esta sección se resumen los proyectos en función del problema central que se pretende abordar. Son insumos para redactar esta sección el Marco Lógico, el Plan de Monitoreo y Evaluación (M&A) y los documentos del diseño original del proyecto.

**Metodología** (3-6 págs.). Esta sección presenta el diseño del estudio y los métodos, incluyendo las alternativas y decisiones que orientan la selección de informantes e instrumentos utilizados.

Incluye una descripción detallada de la metodología e instrumentos utilizados en el estudio (Instrumentos, lista de entrevistados, y otros en anexo). Ello permite al lector estimar el grado de credibilidad y objetividad de la evidencia recogida y del análisis a la que ha sido sometida. Los métodos deben corresponder con las preguntas y permitir evidenciar la calidad de la información obtenida teniendo en cuenta limitaciones de tiempo, recursos y otras consideraciones prácticas.

**Hallazgos y conclusiones** (15-25 págs.). Esta sección constituye el cuerpo central del informe. Todas las afirmaciones sobre hallazgos sean estos de proceso o resultado tendrán que estar claramente respaldadas por evidencias recogidas ya sea de fuentes primarias o secundarias debidamente identificadas y referenciadas en el texto. La evidencia incluye contrastar versiones de las diferentes fuentes de información, incluyendo informantes clave si hubiese sido necesario, con las acciones realizadas por el proyecto para estimar la coherencia entre datos, percepciones, valoraciones y hechos. En la medida de lo posible la evidencia será presentada en cuadros, gráficos y otras formas que ayuden al lector en la comprensión del texto. Las recomendaciones tienen que ser concretas, específicas, prácticas y

relevantes al proyecto y a las preguntas del estudio, orientadas a tomar acciones y al logro de resultados clasificados por parte involucrada principal (incluyendo USAID), según sea lo apropiado.

**Anexos:** Incluirán, siempre y cuando sea pertinente, a) copias de los instrumentos (guías, cuestionarios y encuestas), b) fuentes consultadas (primarias y secundarias), c) registro de cualquier conflicto de interés si existiera por parte de alguno de los integrantes del equipo evaluador, d) productos relevantes resultados del procesamiento y análisis de datos, e) los términos de referencia, f) otros anexos requeridos por USAID o proporcionados por el equipo consultor.

## VIII. EQUIPO CONSULTOR

Este es el equipo propuesto por PGRD. Su composición está sujeto a mejoras como parte de la propuesta inicial.

### Especialista en desarrollo de capacidades – Jefe/Jefa de equipo

El consultor o consultora debe ser profesional con estudios de posgrado en programas (diplomados, especializaciones, maestría o doctorado) que incluyen la formación en el área de desarrollo de capacidades institucionales y de las personas, con experiencia no menor de 8 años en la implementación de procesos de desarrollo de capacidades en instituciones del sector público y privado (preferentemente en áreas de desarrollo alternativo a los cultivos de coca, gestión y calidad de los servicios públicos y/o la gestión sostenible de los recursos naturales), con experiencia en docencia superior. Es requisito la experiencia en monitoreo o evaluación de proyectos que incluyen actividades de desarrollo de capacidades. Requiere experiencia en la conducción y coordinación equipos. Excelentes habilidades para el trabajo en equipo, la comunicación oral y escrita. Dominio o manejo de inglés por lo menos a nivel de lectura.

En el trabajo será responsable de la conducción del estudio, de la redacción del informe final y presentación de hallazgos a USAID. Así mismo, participará en el levantamiento de la información.

### Especialista en metodologías cualitativas

El consultor o consultora debe ser profesional con estudios de posgrado en programas (diplomados, especializaciones, maestría o doctorado) relacionados con investigación cualitativa, con un mínimo de 8 años de experiencia en estudios cualitativos específicamente en el desarrollo de estudio de casos. Es deseable contar con experiencia en la ejecución de evaluaciones y estudios de USAID. Se requiere excelente habilidad para el trabajo en equipo y de comunicación verbal y escrita. Dominio o manejo de inglés por lo menos a nivel de lectura.

Será responsable del diseño del estudio, de la elaboración y validación de instrumentos para el recojo de información y del análisis cualitativo. Participará en el levantamiento y en la conducción del procesamiento y presentación de la información y en la redacción de informes parciales e informe final.

Un asistente con experiencia en el procesamiento y análisis de información cualitativa.

El consultor o consultora debe tener formación para el manejo de software de análisis cualitativo. Con experiencia no menor de 5 años en el manejo de este tipo de software y en el procesamiento y análisis de información de estudios cualitativos. Se requiere excelente habilidad para el trabajo en equipo y de comunicación verbal y escrita.

**Nota:** No podrán participar profesionales involucrados en los programas y proyectos de USAID que serán seleccionados, por un posible conflicto de interés. Es requisito para todos los miembros del

equipo firmar una declaración como libre de conflicto de intereses o describiendo posibles conflicto de intereses existentes.

El equipo demostrará familiaridad con la Política de Evaluaciones de USAID y directrices incluidas en el Capítulo 200 del *USAID Automated Directive System (ADS)*.

## IX. GESTIÓN DEL ESTUDIO

### A. Ejecución del Estudio

La Especialista en Desarrollo de Capacidades (CBE) de PGRD es la responsable del estudio. En coordinación con el COR del Programa/proyecto y la oficial de la Oficina de Programas de USAID, la CBE administrará todas las actividades del estudio. En este sentido, PGRD es el responsable final del estudio y se espera una colaboración constructiva y oportuna de parte de USAID y el equipo consultor. Todos los temas técnicos y administrativos del equipo consultor y USAID deberán ser canalizadas a través de la CBE y viceversa, para coordinar de manera eficiente y clara de tal manera de maximizar el encuentro de expectativas entre las partes.

Se espera una comunicación fluida verbal y escrita entre PGRD y el equipo consultor. Se espera que el jefe del equipo haga su mayor esfuerzo para mantener a la CBE informada. Es la responsabilidad del jefe del equipo informar a la CBE de cualquier situación no prevista que pueda afectar la calidad o las fechas de los entregables o cualquier otra actividad significativa. Con este fin, el jefe de equipo presentará un reporte breve de una página con formato de viñetas a la CBE cada dos semanas y semanal durante el trabajo.

### B. Apoyo de PGRD

- Taller de orientación durante los primeros tres días de la ejecución del contrato para asegurar un entendimiento completo de la asignación y nivel de expectativas, particularmente de USAID y PGRD así como la del equipo consultor.
- La entrega de toda la documentación relevante disponible del proyecto para el análisis documental y cualquier otro documento de enfoque o estratégico relevante y disponible.
- Directrices específicas con el propósito de facilitar el trabajo del equipo consultor.
- De ser necesario, cartas de presentación y contactos telefónicos de las personas o instituciones que participan en el estudio.
- Sala para reuniones, presentaciones o pequeños talleres de trabajo que incluya la participación de staff de PGRD y/o USAID.

## X. LISTA DE ANEXOS

Anexo 1: Marco de Resultados de los Proyectos Seleccionados

Anexo 2: Documentación para el análisis documental.<sup>34</sup>

Para cada uno de los proyectos se requerirá revisar los siguientes documentos:

1. Contrato y modificaciones
2. Plan de M&A, incluyendo las actualizaciones del mismo
3. Reportes anuales
4. Reportes finales, en los proyectos que corresponda
5. Plan de desarrollo de capacidades, o plan de trabajo del proyecto si no tuviera el primero
6. Entregables relacionados con el desarrollo de capacidades, en los proyectos que corresponda

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<sup>34</sup> Otra documentación que no aparezca en la lista, será solicitada al equipo del programa o proyecto.

## ANNEX 2: MATRIZ DE CONSISTENCIA

La elaboración de la presente matriz de consistencia ha permitido identificar, con mayor detalle, 30 sub-preguntas y 66 variables relevantes para el propósito del presente estudio. En consecuencia, las conclusiones y recomendaciones presentadas se sustentan en el estudio de la información documentaria y cualitativa obtenida no sólo con referencia a las cuatro preguntas generales, sino a las sub-preguntas referidas a las variables definidas.

Preguntas			Variables
Preguntas clave	Sub – preguntas	Operacionalización	
PI. ¿Cuál es el modelo y la metodología que aplica el proyecto para el desarrollo de capacidades?	PI.1 ¿Qué modelo y qué metodología aplica para el desarrollo de capacidades?	Esta sub-pregunta busca conocer si la intervención para el desarrollo de capacidades ha sido diseñada a partir de un modelo o metodología específica para el desarrollo de capacidades, como por ejemplo el HICD.	Modelo de DC
	PI.2 ¿Qué involucra el modelo y la metodología para el desarrollo de capacidades?	Con esta sub-pregunta se busca describir los detalles generales del modelo, si se usó uno, o en todo caso, la forma general en que se enfocó el desarrollo de capacidades desde el punto de vista teórico y conceptual.	Enfoque de Desarrollo de Capacidades Niveles de desarrollo de capacidades Vínculo entre niveles de DC (institucional y personal)
	PI.3 ¿Qué referentes ha tenido para la elección de modelo y metodología de desarrollo de capacidades?	Con esta sub-pregunta se busca describir los referentes que ha tenido la iniciativa del proyecto.	Plan concertado Prioridades del beneficiario Propósito del Proyecto Prioridades de USAID
	PI.4 ¿Cuál es el enfoque de género en el modelo elegido?	El objetivo de esta sub-pregunta es describir las estrategias, enfoques, líneas de acción o componentes relacionados con el criterio de género que forman parte del modelo de desarrollo de capacidades, si las hubiera.	Enfoque de género en el modelo

Preguntas			Variables	
Preguntas clave	Sub – preguntas		Operacionalización	
	P1.5 ¿Cuál es el enfoque de interculturalidad en el modelo elegido?		El objetivo de esta sub-pregunta es describir las estrategias, enfoques, líneas de acción o componentes relacionados con el criterio de interculturalidad que forman parte del modelo de desarrollo de capacidades, si las hubiera.	Enfoque de interculturalidad en el modelo
P2. ¿Cómo se diseñan e implementan las intervenciones para el desarrollo de capacidades? IIII	P2.1 Estrategias e intervenciones	P2.1.1 ¿Cuáles son los mecanismos para obtener el compromiso institucional y el involucramiento de los interesados?	Se busca conocer si las intervenciones de desarrollo de capacidades aseguraron de alguna forma explícita o verbal el compromiso institucional	Tipo de compromiso (convenio, alianza, contrato, carta, compromiso verbal, etc...)
		P2.1.2 ¿Cómo se considera el contexto institucional de la(s) organización(es)?	El objetivo de esta sub-pregunta es conocer si los proyectos han realizado, como parte del proceso de diseño de sus intervenciones, un estudio o análisis del contexto institucional de la(s) organización(s) beneficiaria(s) del proyecto.	Nivel institucional del compromiso
		P2.1.3 ¿Cómo se describe el desempeño inicial de la(s) organización(es) beneficiarias?	El objetivo de esta sub-pregunta es conocer si los proyectos han realizado, como parte del proceso de diseño de sus intervenciones, un estudio o análisis del desempeño institucional de la(s) organización(s) beneficiaria(s) del proyecto.	Tipo de estudio de diagnóstico (diagnóstico, árbol de problemas, etc...)
		P2.1.4. ¿Cómo se identifican las necesidades de desarrollo de capacidades de las personas e institucionales? (brecha,	Esta pregunta busca conocer si el proyecto ha realizado un diagnóstico causal (como por ejemplo el árbol de problemas) a partir del cual haya definido las necesidades concretas de desarrollo	Niveles de análisis (contextual, estratégico, operacional, asociativo, etc...) Diagnóstico de necesidades (brechas identificadas en el beneficiario:

Preguntas			Variables
Preguntas clave	Sub – preguntas	Operacionalización	
	causa, necesidad)	de capacidades en la(s) organización(es) beneficiaria(s).	institucional y/o personal)
	P2.1. 5. ¿Cuáles son las intervenciones que forman parte de los procesos para el desarrollo de capacidades? (selección, diseño, tipo nivel, criterios de género e interculturalidad, etc.)	Con esta sub-pregunta se busca conocer en detalle las intervenciones llevadas a cabo por el proyecto para el desarrollo de capacidades en la(s) organización(es) beneficiaria(s).	Objetivo de las intervenciones Sub-objetivos de las intervenciones Actividades de las intervenciones Beneficiarios de las intervenciones Intervenciones de género Intervenciones de interculturalidad
	P2.1. 6. ¿Cuáles son los mecanismos para la integración del desarrollo de las capacidades de las personas con el desarrollo de la capacidad institucional?	Esta sub-pregunta busca entender la estrategia o mecanismo usado, si fuera el caso, para vincular en una misma lógica al desarrollo de capacidades institucionales con el desarrollo de capacidades en las personas de la(s) organización(es) beneficiaria(s); y con ello entender el alineamiento de las intervenciones hacia el propósito final del proyecto.	Documentos de gestión (MOF, ROF) intervenidos. Procesos de promoción o ascenso del personal intervenido.
	P2.2 Intervención / Capacitación		
	P2.2.1 ¿Cuáles son las actividades de la capacitación que se ejecutan (talleres, cursos, pasantías, mentoría, diplomados, entre otros)? (selección, objetivos, mecanismos, etc.)	El objetivo de esta sub-pregunta es describir en detalle las actividades de capacitación llevadas a cabo por la intervención, que estén orientadas al desarrollo de capacidades. Por ejemplo talleres, pasantías, mentorías, diplomados, cursos, difusión de información, manuales, guías, etc.	Selección de actividades de capacitación Objetivo de las actividades de capacitación Metas de las actividades de capacitación Mecanismos de implementación de las actividades de capacitación
	P2.2.2 ¿Cómo se organizan y ejecutan las actividades de	Esta sub-pregunta busca que se describa cómo se definió la gestión e	Procesos definidos para la actividad de capacitación

Preguntas			Variables	
Preguntas clave	Sub – preguntas	Operacionalización		
	capacitación? (implementación)	implementación de las actividades de capacitación identificadas.	Equipos definidos para la actividad de capacitación	
			Liderazgo definido para la actividades capacitación	
			Responsabilidades delegadas para las actividades de capacitación	
			Rendición de cuentas definida para la actividades de capacitación	
	P2.2.3 ¿Cuáles son los niveles de evaluación que se aplican para evaluar a los participantes de las actividades de capacitación?	Describir la metodología de evaluación de los talleres, cursos, etc. según sea el caso, incluyendo el nivel de capacitación evaluado, ya sea a nivel de conocimientos, habilidades o actitudes.	Modelo de evaluación	
			Niveles de evaluación	
			Implementación de evaluaciones	
	P2.3 Intervención Asistencia Técnica (AT)	P.2.3.1.¿Cuáles son las actividades que se aplican para la AT (ejemplo coaching, reuniones técnicas, tutorías, uso de TIC, acompañamiento, etc.)? (Selección, objetivos, mecanismos, etc.)	El objetivo de esta sub-pregunta es describir en detalle las actividades de capacitación llevadas a cabo por la intervención, que estén orientadas al desarrollo de capacidades. Por ejemplo coaching, reuniones técnicas, tutorías, uso de TIC, acompañamiento, etc.	Selección de actividades de asistencia técnica
				Objetivo de las actividades de asistencia técnica
				Metas de las actividades de asistencia técnica
Mecanismos de implementación de las actividades de asistencia técnica				
P2.3.2. ¿Cómo se organizan y ejecutan las actividades de AT? (implementación)		Esta sub-pregunta busca que se describa cómo se definió la gestión e implementación de las actividades de capacitación identificadas.	Procesos definidos para la actividad de asistencia técnica	
			Equipos definidos para la actividad de asistencia técnica	
		Liderazgo definido para la actividades asistencia técnica		
		Responsabilidades delegadas para la		

Preguntas			Variables	
Preguntas clave	Sub – preguntas	Operacionalización		
		P2.3.3. ¿Cómo se evalúan las actividades de AT?	Describir la metodología de evaluación de las actividades de asistencia técnica, incluyendo el nivel de capacitación evaluado, ya sea a nivel de conocimientos, habilidades o actitudes.	actividades de asistencia técnica
			Rendición de cuentas definida para la actividades de asistencia técnica	
			Modelo de evaluación	
	P2.4 Intervención Intercambio de experiencias	P.2.4.1 ¿Cuáles son los criterios para la determinar una experiencia exitosa?	El objetivo de esta sub-pregunta es describir los criterios utilizados para determinar las actividades de desarrollo de capacidades que, al haber sido exitosas, serán intercambiadas entre distintos grupos de interés de la(s) organización(es) beneficiaria(s).	Niveles de evaluación
				Implementación de evaluaciones
		P2.4.2 ¿Cómo se organizan y ejecutan las actividades de intercambio de experiencias?		Nivel de logro de metas de la experiencia
				Identificación y sinergia con el grupo de interés beneficiario
P3. ¿Cómo se determina el logro de los	P 3.1 ¿Cómo se realiza el seguimiento de las intervenciones?	Con esta sub-pregunta se busca describir el plan de monitoreo y evaluación de las intervenciones para la medición de sus	Procesos definidos para la actividad de asistencia técnica	
			Equipos definidos para la actividad de asistencia técnica	
			Liderazgo definido para la actividades asistencia técnica	
			Responsabilidades delegadas para la actividades de asistencia técnica	
			Rendición de cuentas definida para la actividades de asistencia técnica	
			Niveles de monitoreo	
			Mecanismos de monitoreo	
			Cumplimiento de plan de monitoreo	

Preguntas			Variables
Preguntas clave	Sub – preguntas	Operacionalización	
resultados de las intervenciones de desarrollo de capacidades?		logros programados.	
	P3.2 ¿Cuáles son los indicadores utilizados para determinar el desarrollo de capacidades?	El objetivo de esta sub-pregunta es identificar los indicadores utilizados para medir el logro de las metas y resultados programados.	Indicadores
	P3.3 ¿Cómo se miden los principales indicadores de desarrollo de capacidades?	El objetivo de esta sub-pregunta es describir los instrumentos y acciones de monitoreo de las metas y resultados programados.	Instrumentos de monitoreo
	P3.4 ¿Cómo se utilizan los resultados de este seguimiento?	El objetivo de esta sub-pregunta es describir los mecanismos de retroalimentación y réplica de las metas y resultados logrados.	Criterios de retroalimentación y réplica
			Mecanismos de retroalimentación y réplica
			Implementación de retroalimentación y réplica
P3.5 ¿El seguimiento incorpora elemento de género?	Esta sub-pregunta tiene como objetivo identificar si el plan de monitoreo y evaluación incluye indicadores de género.	Indicadores de género	
P3.6 ¿El seguimiento incorpora elemento de interculturalidad?	Esta sub-pregunta tiene como objetivo identificar si el plan de monitoreo y evaluación incluye indicadores de interculturalidad.	Indicadores de interculturalidad	
P4. ¿Cuáles son los resultados logrados en la capacidad institucional y en las personas como resultado	P 4.1 ¿Cuáles son los principales nudos críticos de los proyectos en el proceso de desarrollo de capacidades?	El objetivo de esta pregunta es describir en detalle la capacidades más importantes que se haya logrado desarrollar en la(s) organización(es) beneficiaria(s) de cada proyecto.	Organización capacitada
			Capacidad (conocimiento, habilidad, actitud)
			Nivel (institucional o personal: líderes o funcionarios)
			Impacto institucional

Preguntas			Variables
Preguntas clave	Sub – preguntas	Operacionalización	
de las intervenciones de los proyectos?	P4.2 ¿Cuáles son las lecciones aprendidas para futuros programas y proyectos?	Esta pregunta busca que se identifiquen las lecciones aprendidas de cada intervención para el desarrollo de capacidades, de acuerdo con las evaluaciones de desempeño llevadas a cabo en cada uno de ellos.	Lecciones aprendidas por cada intervención para el desarrollo de capacidades
	P4.3 ¿Qué resultados se han alcanzado?	Con esta pregunta se logrará identificar puntualmente todos los resultados logrados para cada intervención de desarrollo de capacidades en cada proyecto.	Resultados logrados en desarrollo de capacidades.
	P4.4 ¿Qué mecanismos implementan para asegurar la sostenibilidad de las capacidades desarrolladas?	Esta sub-pregunta tiene como objetivo describir las actividades llevadas a cabo específicamente para asegurar la sostenibilidad de las capacidades desarrolladas.	Diseño de actividades para la sostenibilidad
			Implementación de actividades para la sostenibilidad
			Monitoreo y evaluación de actividades para la sostenibilidad
P4.5 ¿Cómo se difunden los resultados logrados en el desarrollo de capacidades?	En esta sub-pregunta se busca describir las actividades de difusión de los resultados logrados por cada intervención.	Diseño de actividades para la sostenibilidad	
		Implementación de actividades para la sostenibilidad	
		Monitoreo y evaluación de actividades para la sostenibilidad	

# ANNEX 3: INSTRUMENTOS DE RECOLECCIÓN DE DATOS

## Formato de Consentimiento Informado

Entrevista Código: \_\_\_\_\_

### CONSENTIMIENTO INFORMADO

Entrevista Semi-Estructurada para Estudio: “Desarrollo de capacidades en proyectos seleccionados de USAID/PERU” Noviembre de 2016 a Marzo del 2017

Mi participación en este estudio es voluntaria, así que tengo el derecho de negarme a participar o de interrumpir mi participación en cualquier momento, sin que esta decisión afecte los compromisos que los evaluadores han establecido conmigo.

Mi participación también es confidencial; los resultados podrán aparecer en una publicación científica o ser divulgados en una reunión científica pero de una manera anónima.

Se me ha brindado la oportunidad de hacer preguntas sobre los objetivos de la entrevista y, en caso hayan sido hechas, éstas han sido contestadas en forma adecuada. Y se me ha informado de que en caso tenga alguna pregunta, puedo realizarla al siguiente correo electrónico [lsoltau@a-tiempo.com.pe](mailto:lsoltau@a-tiempo.com.pe).

He leído toda la información descrita en este consentimiento antes de firmarlo y por lo tanto, accedo a participar como sujeto de investigación en esta evaluación.

ENTREVISTADO:
_____
Nombre del entrevistado
_____
Firma
_____
Documento de Identidad

ENTREVISTADOR:
_____
Nombre del entrevistador
_____
Firma
_____
Documento de Identidad

## Protocolo para levantamiento de información

**Registro electrónico de la entrevista.** Al inicio de la entrevista, antes de encender los dispositivos de grabación se solicitará el permiso para el registro electrónico de las entrevistas. Se informará a los entrevistados que la grabación puede ser interrumpida en cualquier momento, si así lo solicitara.

### A. Guía de entrevistas: GUIA DE ENTREVISTA INICIAL A USAID

- SU OPINION: PRINCIPALES LOGROS Y LIMITACIONES
  - a. En general, de la intervención de todo el proyecto
  - b. En específico, con respecto a lo relacionado al Desarrollo de Capacidades
  - c. En particular, para el desarrollo de capacidades...

P-1: ¿Cuál es el modelo y la metodología que aplica (o aplicó) el proyecto?

P-2: ¿Cómo implementan (o implementaron) los proyectos el modelo y la metodología?

P-3: ¿Cómo se determina (o determinaron) el logro de los resultados de las intervenciones?

P-4: ¿Cuáles han sido los resultados logrados en la capacidad institucional y en las personas como consecuencia de las intervenciones de los proyectos?

- EXPECTATIVAS DEL ESTUDIO
  - a. USAID: “¿qué expectativas cree que hay en USAID con respecto a este estudio de desarrollo de capacidades?”
  - b. PROPIA: “¿qué expectativas tiene usted con respecto a la contribución de un estudio de desarrollo de capacidades?”

**B. Guía de entrevistas: GUIA DE ENTREVISTA SEMIESTRUCTURADA A DIRECTORES DE PROYECTOS**

**DATOS DEL ENTREVISTADOR**

Nombre y apellidos		Fecha de la entrevista	
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**DATOS DE LA PERSONA ENTREVISTADA**

Nombre del proyecto	
Nombres y APELLIDOS	
Correo electrónico	
Teléfono	

**OBJETIVO DE LA ENTREVISTA:**

1. Obtener la retroalimentación de los avances en la construcción del caso.
2. Obtener información complementaria relacionada con el caso.
3. Identificar otros actores claves del proyecto, del nivel nacional, regional y/o local según corresponda, para complementar la información del caso.

**DESARROLLO DE LA ENTREVISTA:**

**A. Aspectos generales**

1. Saludo
2. Presentación del equipo – duración
3. Breve explicación de la metodología del estudio de caso:
  - a. Énfasis que es un estudio de caso, no una sistematización del proyecto.
  - b. Presentación de las 4 grandes preguntas del estudio
  - c. Análisis documental realizado
  - d. Identificación del foco de atención o focalización del caso incluyendo el ámbito.
4. Presentación del objetivo de la entrevista
5. Explicación de la secuencia de la entrevista:
  - a. Presentación de los avances de la construcción del caso pregunta por pregunta
  - b. Retroalimentación
  - c. Complementación de la información
  - d. Preguntas adicionales que el equipo considere.

**B. Aspectos específicos:**

1. Presentación de lo identificado con relación a la pregunta 1 y con sus sub preguntas

2. Presentación de lo identificado con relación a la pregunta 2 y con sus sub preguntas
3. Presentación de lo identificado con relación a la pregunta 3 y con sus sub preguntas
4. Presentación de lo identificado con relación a la pregunta 4 y con sus sub preguntas
5. Solicitud de los datos de contacto de los actores claves del proyecto, del nivel nacional, regional y/o local según corresponda, para complementar la información del caso.
6. Otras preguntas:
  - a. Acerca del acompañamiento del equipo de USAID, como contribuye en la implementación y logro de resultados, algunas recomendaciones en el acompañamiento para optimizar el trabajo.
  - b. Acerca del abordaje realizado frente al proceso de elecciones y cambio de autoridades políticas del nivel nacional, regional y local
  - c. Desde su punto de vista cuáles son los aspectos o actividades más relevantes para el empoderamiento o involucramiento de las autoridades, de las instituciones y/o de las personas.

**C. Guía de entrevistas: GUIA DE ENTREVISTA A INFORMANTES CLAVES DE LOS PROYECTOS**

**DATOS DEL ENTREVISTADOR**

Nombre y apellidos		Fecha de la entrevista	
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**DATOS DE LA PERSONA ENTREVISTADA**

Nombre del proyecto	
Nombres y APELLIDOS	
Correo electrónico	
Teléfono	

**OBJETIVO DE LA ENTREVISTA:**

1. Obtener la retroalimentación de los avances en la construcción del caso.
2. Obtener información complementaria relacionada con el caso.
3. Triangular la información de algunos temas puntuales y necesarios para la construcción del caso.
4. Identificar otros actores claves del proyecto para complementar la información del caso.

**DESARROLLO DE LA ENTREVISTA:**

**A. Aspectos generales**

1. Saludo
2. Presentación del equipo – duración de la entrevista
3. Breve explicación de la metodología del estudio de caso:
4. Señalar el objetivo de la entrevista
5. Explicación de la secuencia de la entrevista:
  - a. Equipo técnico presenta los avances del caso (resumen)
  - b. Recibe la retroalimentación / complementación de la información
  - c. Realiza eventuales preguntas adicionales.

**B. Aspectos específicos:**

PREGUNTA	VACÍOS IDENTIFICADOS / TRIANGULACIÓN (esta columna varía en cada proyecto de acuerdo a las necesidades de información que se identificaron luego del análisis documental y las entrevistas a directores de los proyectos)
PG2: Diagnóstico, Diseño e Implementación.	Antes de cada pregunta se presenta un resumen de la información que se cuenta y se realiza las preguntas ad hoc a cada caso de acuerdo a las necesidades de información que permita continuar con la construcción del caso.
PG3: Monitoreo y Evaluación.	
PG4: Resultados logrados.	

# ANNEX 4: FUENTES PRIMARIAS – RELACIÓN DE ENTREVISTADOS SEGÚN PROYECTOS

## New Alternatives Project

Organización	Área	Cargo	Nombre	Fecha de entrevista	Localidad	Medio
NAP		Director de Proyecto	Jaime García	23/01/17	Lima	Presencial
DEVIDA	Oficina de coordinación del Monzón	Encargado	Limber Trujillo	02/02/17	Tingo María	Skype
DEVIDA	Oficina de coordinación del Monzón	Encargado del componente - café	Emer Perdomo	02/02/17	Tingo María	Skype
DEVIDA	Oficina de coordinación del Monzón	Encargado del componente - cacao	Ronald Arias	02/02/17	Tingo María	Skype
NAP	Oficina regional de Tingo María	Funcionario	César Santos	02/02/17	Tingo María	Skype
NAP	Oficina regional de Tingo María	Oficina regional de Tingo María	Manfred Coral	02/02/17	Tingo María	Skype
DEVIDA		Secretaria General	Yalile Martinez	08/02/17	Lima	Presencial

## Amazonia Lee

Institución	Área	Cargo	Nombre	Fecha de entrevista	Localidad	Medio
USAID		Contracting Officer Representative	Sobeida Gonzales	16/11/2016	Lima	Presencial
UPCH		Directora del programa	Raquel Villaseca Zevallos	14/11/2016 18/01/2017	Lima	Presencial
UPCH		Responsable del Sistema de Evaluación de los Aprendizajes	Martín Garro Almonte	14/11/2016 18/01/2017 08/02/2017	Lima	Presencial
UPCH		Responsable del sistema de Formación	Danilo Tapia de la Cruz Martínez	14/11/2016 18/01/2017	Lima	Presencial
UPCH		Coordinadora Regional SM	Roxana Atoche	31/01/2017	Moyobamba	Presencial
UPCH		Especialista SM	Margot Monroy	31/01/2017	Moyobamba	Presencial
GOESAM	DRE	Director	Wilson RicardoQuevedo	31/01/2017	Moyobamba	Presencial
GOESAM	DRE	Coordinador proyecto PEEL	Wilson Guerrero	31/01/2017	Moyobamba	Presencial
GOESAM	DRE	Especialista en evaluación y monitoreo	Esteban Ruiz Navarro	31/01/2017	Moyobamba	Presencial
GOESAM	DRE	Formador de maestros	Carlos Zuta Vilca	31/01/2017	Moyobamba	Presencial
GOESAM	DRE	Formador de maestros	Luis Alberto Ruiz Pérez	31/01/2017	Moyobamba	Presencial

## Pro Descentralización

Institución	Área	Cargo	Nombre	Fecha de entrevista	Localidad	Medio
USAID		Contracting Officer Representative	Sobeida Gonzales	16/11/2016	Lima	Presencial
ProDescentralización		Jefa del programa	Violeta Bermúdez Valdivia	19/01/2017	Lima	Presencial
ProDescentralización		Coordinadora del programa	Cecilia Aldave Ruiz	19/01/2017	Lima	Presencial
ProDescentralización		Especialista en gestión pública	Mirko Peraltila Martínez	3/02/2017	Lima	Presencial
ProDescentralización		Coordinadora	Sabina Aquino	1/02/2017	Tarapoto	Presencial
ProDescentralización		Especialista local en gestión pública	Michel Tello	30/01/2017	Lamas	Presencial
GORESAM	Gerencia de planeamiento	Gerente Regional de Planeamiento y Presupuesto	José Luis Vela Guerra	31/01/2017	Moyobamba	Presencial
GORESAM	Gerencia de desarrollo social	Gerente de Desarrollo Social (e)	Félix Rosales Rojas	31/01/2017	Moyobamba	Presencial
GORESAM	Planeamiento	Equipo Técnico DCI	Patricia Rengifo Vásquez	31/01/2017	Moyobamba	Presencial
GORESAM	DRE	Director	Wilson Ricardo Quevedo Ortiz	31/01/2017	Moyobamba	Presencial
GORESAM	UGEL	Directora	Ariett Vásquez Pinedo	30/01/2017	Lamas	Presencial
Municipalidad provincial de Lamas	Alcaldía	Alcalde	Fernando Del Castillo Tang	2/02/2017	Lamas	Presencial
Municipalidad provincial de Lamas		Equipo Técnico DCI	Isaac Rodriguez Paima	2/02/2017	Lamas	Presencial
MD - Tabalosos	Alcaldía	Alcalde	Humberto Del Águila Villanueva	2/02/2017	Tabalosos	Presencial
MD - Tabalosos		Gerente Municipal	Juan Daniel del Águila Marín	2/02/2017	Tabalosos	Presencial

MD - Cuñumbuqui		Secretaria general	Mirandith Hindalgo Dávila	2/02/2017	Cuñumbuqui	Presencial
Comité de vigilancia		Vigilante Lamas	Diomedes Diaz García	30/01/2017	Lamas	Presencial

### ProIntegridad

Organización	Área	Cargo	Nombre	Fecha de Entrevista	Localidad	Medio
Ministerio Público	Fiscalía	Fiscal Provincial para Delitos de Corrupción	Aníbal Javier Aurora Fernández	31/01/2017	Moyobamba	Presencial
Poder Judicial	Administración del Módulo Penal	Administrador del Código Procesal Penal	Gustavo Alvarado Leyva	31/01/2017	Moyobamba	Presencial
Poder Judicial	Juzgado	Juez de Investigación Preparatoria	César Mariano Méndez Calderón	1/02/2017	Tarapoto	Presencial
Poder Judicial	Juzgado	Juez Penal Colegiado/Unipersonal	Richard Rodriguez Alván	1/02/2017	Tarapoto	Presencial

### Perú Bosques

Organización	Área	Cargo	Nombre	Fecha de entrevista	Localidad	Medio
USAID		COR	Fernando Chávez	16/11/16	Lima	Presencial
USAID		COR	Víctor Merino	01/12/16	Lima	Presencial
PPB		Director de Proyecto	Lucas Benites	20/01/07	Lima	Presencial
GOREU	ARAU	Gerente Regional	Luigi Vargas	30/01/17	Pucallpa	Presencial
GOREU	ARAU	Gestión del Medio Ambiente	Patricia Seijas	30/01/17	Pucallpa	Presencial
DEFFS	Gestión Forestal		Olga Ríos	31/01/17	Pucallpa	Presencial

DEFFS	Gestión del Territorio		Ernesto Rosado	31/01/17	Pucallpa	Presencial
GOREU		Sub gerente de desarrollo institucional	Enrique Ampudia	30/01/17	Pucallpa	Presencial

### Proyecto Iniciativa para el Sector Forestal Peruano (PFSI)

Organización	Área	Cargo	Nombre	Fecha de entrevista	Localidad	Medio
USAID		COR	Fernando Chávez	16/11/16	Lima	Presencial
USAID		COR	Víctor Merino	01/12/16	Lima	Presencial
UFSF PFSI		Directora de Proyecto	Ashely Warriner	02/12/16	Lima	Presencial
UFSF PFSI			Víctor Miyakawa	02/12/16	Lima	Presencial
UFSF PFSI		Directora de Proyecto	Ashely Warriner	25/01/17	Lima	Presencial
UFSF PFSI			Víctor Miyakawa	25/01/17	Lima	Presencial
UFSF PFSI			María Paz Montoya	25/01/17	Lima	Presencial
GOREL		Director Regional	Kerry García	02/02/17	Loreto	Presencial
GOREL	Subgerencia de Planificación	Especialista en Geodatabases	Felipe López	02/02/17	Loreto	Presencial
GOREL	Autoridad Regional Ambiental	Gerente	Juan Vilca	02/02/17	Loreto	Presencial
GOREL	Gerencia de Planificación, Presupuesto y Acondicionamiento Territorial	Subgerente	Manuel Burga	02/02/17	Loreto	Presencial

DAR		Especialista IDE	Cussi Alegría	02/02/17	Loreto	Presencial
GOREL	Subgerencia de Planificación	Especialista IDE	Karla Camacho	03/02/17	Loreto	Presencial
DAR		Asesora Técnica	Cristina López	03/02/17	Loreto	Presencial

### Proyecto Iniciativa para la Conservación de la Amazonía Andina (ICAA II)

Organización	Área	Cargo	Nombre	Fecha de entrevista	Localidad	Medio
USAID		COR	Mónica Romo	01/12/16	Lima	Presencial
Unidad de Apoyo ICAA II		Directora de Unidad de Apoyo	Jessica Hidalgo	05/01/16	Lima	Presencial
Unidad de Apoyo ICAA II		Coordinadora de Fortalecimiento de Capacidades	Giuliana Zegarra	18/01/17	Lima	Skype
Unidad de Apoyo ICAA II		Asesora de Incentivos Económicos y Cambio Climático	Karen Hildahl	18/01/17	Lima	Skype
FECONAU		Presidente	Robert Guimaraes	30/01/17	Ucayali	Presencial
FECONAU		Capacitador	Luz Nery Escobar Barbaran	30/01/17	Ucayali	Presencial
FECONAU		Capacitador	Jorge Soria Gonzales	30/01/17	Ucayali	Presencial
FECONAU		Capacitador	Eliana Saldaña	30/01/17	Ucayali	Presencial
FECONAU		Capacitador	Nestor Paiva	30/01/17	Ucayali	Presencial
FECONAU		Capacitador	Alexander Shumpukat Soria	30/01/17	Ucayali	Presencial
IBC		Coordinador del programa	Paulo Sima	31/01/17	Ucayali	Presencial

# ANNEX 5: FUENTES SECUNDARIAS CONSULTADAS SEGÚN PROYECTO

## New Alternatives Project (NAP)

Tipo de documento	Documento revisado
Contrato	1.NAV Contract TdR_Ed.pdf
Planes de trabajo	1.NAV Workplan YR1 AID-527-C-13-00003- Ed.pdf
	2.NAV Workplan YR2 Amend AID-527-C-13-00003 18Dec14_Ed.pdf
	3. NAV Workplan YR4 AID-527-C-13-00003, submitted- Ed.pdf
Planes de M&A	1.NAV_PME_2013-No-Ed.pdf
	2. PMP NAP, 27May14.pdf
Reportes anuales / Trimestrales	Y1_1QR NAP Apr - June 2013 No- Ed.pdf
	Y1_2QR NAP Jul - Sept 2013 No-Ed.pdf
	Y1_3QR NAP Oct - Dec 2013 No- Ed.pdf
	Y1_4QR NAP Jan - Mar 2014- Ed.pdf
	Y2_1QR NAP Apr - Jun 2014- Ed.pdf
	Y2_2QR NAP Jul - Sept 2014- Ed.pdf
	1.NAP Year 2 3rd Quarter Report FY2015 Q1, revised - Ed.pdf
	Y2_4QR NAP Jan - Mar 2015- Ed.pdf
	Y3_1 QR NAP Apr - Jun 2015- Ed.pdf
	Y3_2QR NAP Jul - Sept 2015 -Ed.pdf
	Y3_3QR NAP Oct - Dec 2015-Ed.pdf
	Y3_4 QR NAP Jan - Mar 2016- Ed.pdf
	Y4_1 QR NAP Apr - Jun 2016- Ed.pdf
Informes de evaluación	DEVIDA Informe Final 26 Sept.pdf
Doc de DC y Entregables	1. Adopción de Liderazgo -DEVIDA Fortalecimiento Institucional.pptx
	2. Paper_ Comunicación para el Desarrollo_Mayo2016.pdf
	3. PaperGestiónComunal2016.p
Cartillas sobre cacao	Cartilla (1-16).Pdf
	Cartilla Costos.Pdf
	Cartilla Instruc.Pdf
Guías sobre asociatividad	Asociatividad-Guía-I-completa.pdf
	Asociatividad-Guía-II-completa.pdf
	Asociatividad-Guía-III-completa.pdf
	GuíaPostCosecha.pdf
Guías de componente de	DiagnosticoParticipativoyPlandeDesarrolloComunal_2014.pdf

gestión comunal	GuiaConformaciónJVC.pdf
	GuiadelSocializador2014.pdf
	GuíaGestorporelDesarrollo.pdf
Guías de sostenibilidad ambiental	Guiaparalasostenibilidadambiental (01-06).pdf
Cartillas sobre café	Cartilla (I-II).pdf
	Cartilla Costos.pdf
	Cartilla Instruc.pdf
Convenios de cooperación interinstitucional con municipalidades	Convenio – MD Hermilio, Luyando, Las Palmas, Monzón, Codo, Yuya, Puerto Bermudez. pdf
Sistematización del Programa de Post Erradicación	I Intervención y Facilitación Social en el contexto de la Lucha Peruana contra las Drogas.pdf
Lineamientos para el Desarrollo Social en zonas PE	Lineamientos para trabajo de DDCC y Local.pdf
Plan de monitoreo y mitigación ambiental	PMMA_ Post Erradicacion DEVIDA – VF.pdf
Sistematización del proceso de asociatividad	Sistematización del proceso de Asociatividad_borrador.pdf
Experiencia post-erradicación Huipoca – Monzón	Sistematizacion Post Erradicacion 2013 - Huipoca – Monzón.pdf
Documentos SISPOST	Lineamiento para Establecer el Proceso de Registro de Datos al SISPOST4.Pdf
	Manual de usuario Productivo Coordinador.pdf
	Manual de Usuario Productivo RT.pdf
	Manual de Usuario Socializacion – SISPOSTII.pdf
	Plan de Desarrollo SISPOST.pdf

### Programa del desarrollo de la capacidad y el compromiso “Amazonía Lee”

Tipo de documento	Documento revisado
1. Contrato y modificaciones	Attachment A: Schedule Attachment B: Program Description
2. Planes de Trabajo	Plan anual de trabajo 2016
	Plan del Programa de Desarrollo de Capacidades y el compromiso (DCC) 2016 – 2018
	Plan Anual del Programa de Desarrollo de la Capacidad y el Compromiso (DCC) “La Amazonía LEE” – 2015

Planes de M&A	Plan de M&A 2016-2017 Versión no aprobada.
Reportes	2015 Annual Report
	2015 Quarterly Report 02 Enero –Marzo
	2015 Quarterly Report 03 Abril-Junio
	2015 Quarterly Report 04 Julio – Septiembre
	2016 Quarterly Report 02 Enero- Marzo
	2016 Quarterly Report 03 Abril- Junio
Doc de DC y entregables	Programa de Formación de Formadores de Maestros y Especialistas Regionales de Educación.
	Protocolo de la formación de especialistas formadores de las direcciones regionales de educación 2016
	Programa de Formación de Maestros 2016
	Protocolo de formación de maestros 2016
	Sistema de Reconocimiento de las buenas Practicas de los Maestros-Nov 2016
	Sistema de reconocimiento de buenas prácticas docentes en el marco del proyecto Enseñar es Liderar – Bases
Doc de DC y entregables	Sistema de Evaluación de los Aprendizajes
	Protocolo de formación de directores 2016
	Proyecto “Enseñar es Liderar” 2014 – 2017
	File Reunión Técnica Regional - Abril de 2016
	File Reunión Técnica Regional - Junio de 2016
	File Reunión Técnica Regional – Diciembre 2016
	Acta de Instalación y del proceso de evaluación de la segunda fase: Relato con evidencias de la buena práctica docente
	Carta de invitación de reconocimiento y premiación de buenas prácticas docentes en la región San Martín
	Convocatoria de equipo técnico regional y especialistas en educación de PEEL- GORESAM
	Resolución Regional Directoral 2968 GRSM/DRESM

### Pro-Descentralización (ProDescentralización)

Tipo de documento	Documento revisado
Contrato	Contract SOW extract AID-527-C-12-00002 – Ed
	AID-527-C-12-00002 TT-ARD Mod 4 extract –Ed
Planes de trabajo	FY 2013 Work Plan
	FY 2014 Revised Work Plan
	FY 2015 Revised Work Plan

Tipo de documento	Documento revisado
	FY 2016 Revised Work Plan
Plan de M&A	FY 2012 Performance Monitoring Plan Indicators - Feb 2012
	FY 2013 Performance Monitoring Plan - Aug 2013
	FY 2014 Performance Monitoring Plan- Aug 2014
	FY 2015 Performance Monitoring Plan- March 2015
	Mid Term Evaluation ProDescentralización
	First report October – December 2012
	QR January - March 2013
	QR April - June 2013
	QR July - September 2013
	4. QR October - December 2013
	QR January – March 2014
	QR July – September 2014
	Annual Report FY2 2014
	QR January – March 2015
	QR April – June 2015
	QR July – September 2015
	QR October - December 2015
	Annual Report FY 3 2015 No-Ed
	QR 2016 Jan-Mar No Edit
	QR 2016_April_June 2016
	Informe de Pasantía de Autoridades y Funcionarios/as de San Martín y Ucayali
	Program Indicator Annual Report fy 2014 (october 2013 – September 2014)
	Program Indicator Annual Report fy 3 2015 october 2014 -september 2015
	Program Bi - Annual Performance Indicator Report (october 2015 -march 2016).
Doc de DC y entregables	Desarrollo y fortalecimiento de capacidades FY 2013 2016
	Pautas para la clasificación de las acciones de desarrollo de capacidades que realiza el proyecto ProDescentralización de USAID
	Diagnóstico Departamento de San Martín (Diagnóstico Rápido)
	Diagnóstico de capacidades institucionales y plan de capacitación y asistencia técnica –Gobierno Regional de San Martín
	Propuesta de Plan de Capacitación y asistencia técnica – GGD San Martín
	Diagnóstico MD Cuñumbuqui

Tipo de documento	Documento revisado
	Diagnóstico MD Tabalosos
	Diagnóstico MD Zapatero
	Diagnóstico MD Lamas
	Program implementation Plan Strengthen sub national governments
	Curso contrataciones del Estado (Carpeta)
	Taller Transferencia Diagnóstico de Capacidades Institucionales (Carpeta)
	Taller Plan Operativo Institucional con enfoque de Resultados
	Programa de fortalecimiento de capacidades en Gobierno Abierto a gobiernos regionales y locales – Guía Metodológica; Transparencia; Acceso a la información Pública; Participación ciudadana y rendición de cuentas; Gobierno Abierto
	Programa de fortalecimiento de capacidades en materia de Gobierno Abierto dirigido a comités y espacios de vigilancia ciudadana - Guía Metodológica; La vigilancia ciudadana; La vigilancia ciudadana sobre algunos servicios públicos
	Programa de Entrenamiento para Consejeras y Consejeros Regionales. Periodo 2015 -2018
	RMN006-2016-PCM
	RM-N-014-2016-PCM
	RSD-015-2016-PCM-SD
Otros	Diagnóstico de Género en la Amazonía
	Audit of USAID/PERU'S ENVIROMENTAL ACTIVITIES
	La Experiencia del Servicio de Distribución de Materiales Educativos, en el Marco del Buen Inicio del Año Escolar en la Provincia de Lamas
	Reconstrucción de la estrategia del Grupo de Gestión Descentralizada – GGD San Martín
	Diseño De Proyectos De Mejora De La Calidad De Servicios Públicos En Salud-PMCS
	Solicitudes del GGD San Martín (2013, 2014, 2015, 2016)
	POI 2016 DRE San Martín, UGEL Lamas San Martín, MP Lamas, MD Barranquita, Cuñumbuqui, Zapatero-

### **ProIntegridad**

Tipo de documento	Documento revisado
Contrato	Contrato
	Contrato - Modificación02
	Contrato - Modificación 05
Plan de Trabajo	2013 - Year I. Plan de trabajo - Febrero 2013 - Febrero 2014

Tipo de documento	Documento revisado
	2013 - Year 1. Anexo I. Diagrama Gantt Plan de trabajo Febrero 2013 - Febrero 2014 2014 - Year 2. Plan de trabajo - Febrero 2014 - Febrero 2015 (Inglés) 2014 - Year 2. Plan de trabajo - Febrero 2014 - Febrero 2015 (español) 2014 -Year 2. Anexo I. Diagrama Gantt Plan de trabajo 2014 - 2015 2015 - Year 3. Plan de trabajo - Febrero 2015 - Febrero 2016 ( Inglés)
PMP	Plan de Monitoreo del desempeño - Agosto 2014 ( Español)
Reportes	2013 Quarterly Report 01- February 15 - March 31 2013 Quarterly Report 02 - April - June 2013 Quarterly Report 03 - July - September 2013 Quarterly Report 04 - October - December 2014 Quarterly Report 05 - January - March 2014 Quarterly Report 06 - April - June 2014 Quarterly Report 07 - July - September 2014 Quarterly Report 08 - October - December 2015 Quarterly Report 09 - January - March 2015 Quarterly Report 10 - April - June 2015 Quarterly Report 11 - July - September 2015 Quarterly Report 12 - October - December 2013 - 2016 Final Report - February 2013 - February 2016
Evaluación	Informe de Evaluación de medio término del modelo de Integridad Institucional en el Ministerio de Justicia y Derechos Humano del Perú Producto N° 42
Documentos Diplomatura	Material Diplomado_Lectura ética Pública_Tema 1 Material Diplomado_Lectura ética Pública_Tema 2 Material Diplomado_Lectura ética Pública_Tema 2 Sílabo Ética Material Diplomado_Lectura Gestión Pública_Tema 2 Material Diplomado_Lectura Gestión Pública_Tema 3 Sílabo Gestión Pública Material Diplomado_Teoría del Delito_Tema 1 Material Diplomado_Teoría del Delito_Tema 2 Material Diplomado_Teoría del Delito_Tema 3 Material Diplomado_Teoría del Delito_Tema 3 Material Módulo 2_ Lectura Reparación Civil Material Módulo 3_ Lectura Litigación Oral Convocatoria: Diplomado especializado en delitos de corrupción Cronograma del Diplomado

Tipo de documento	Documento revisado
	Encuesta - Diplomatura - Amazonas- Resultados
	Encuesta - Diplomatura- Lima - Resultados
	Jueces y Fiscales participantes del primera edición de la diplomatura: Lima
	Requisitos para participantes diplomado
	Revised SoW Diploma Course
Documentos Herramientas de Gestión	Diagnóstico e identificación de mejoras en el modelo de gestión del despacho corporativo fiscal para casos de corrupción de funcionarios ( Feb, 2014)
	Mof del despacho fiscal penal corporativo. Proyecto Final. Producto 21
	Resolución de la Fiscalía de la Nación N° 1735- 2014 -MP-FN
	Diagnostico e identificación de mejoras en el modelo de gestión del despacho corporativo judicial para casos de corrupción de funcionarios
	Reporte del sistema de Monitoreo para medir el desempeño del poder judicial en los casos de corrupción
	Producto N° 25
	Oficio Conformidad del Equipo Técnico Implementador Penal PJ Reglamento de Despacho
	Oficio Conformidad del Equipo Técnico Implementador Penal PJ Lineamientos para juicio con el Código Procesal Penal
	Lineamientos para la programación y gestión de audiencias en la etapa de juicio con el código procesal penal - Buenas prácticas en gestión del despacho judicial penal corporativo
	Producto N° 43
	Propuesta de manual de lenguaje claro y sencillo para los ciudadanos. Producto 30

### Proyecto Perú Bosques

Tipo de documento	Documento revisado
Contrato	1. Fully Executed Contract F100-Ed.pdf
	3. AID-527-C-11-00002 - Mod 02-Ed.pdf
	4. AID-527-C-11-00002 - Mod 03-Ed.pdf
	5. AID-527-C-11-00002 - Mod 04 fully signed-Ed.pdf
	6. AID-527-C-11-00002 - Mod 05 fully signed - key personnel- Ed.pdf
	7. AID 527-C-11-00002 - Mod 06 F100- Ed.pdf
	8. AID-527-C-11-00002 - Mod No. 16- Ed.pdf
	Planes de trabajo

Tipo de documento	Documento revisado
	PPB Work Plan Y2_Matrix 05Feb13.pdf
	PPB Work Plan Years 3_4 Final- Ed.pdf
Planes de M&A	1. 2012 PeruBosques_PMP_5.3.12 No- Ed.pdf
	2. 2015 PERU BOSQUES- No-Ed.pdf
Reportes Anuales/Trimestrales	QR Jul-Sep 2011 Peru Bosques.pdf
	QR Oct-Dec2011_EngVersion.pdf
	QR Jan to Mar 2012.pdf
Reportes Anuales/Trimestrales	QR April to June 2012.pdf
	Annual Report 2012 Supplement USAID Jul-Sep.pdf
	QR Oct to Dec 2012_Revised.pdf
	Quarterly_Report_Jan to Mar_2013_English_final- No- Ed.pdf
	PB_QR_Apr to Jun_2013_ENG_19Nov2013- No- Ed.pdf
	Peru Bosques Annual Summary Report_Y2- No- Ed.pdf
	English QR_Oct-Dic2013_PeruBosques- Ed.pdf
	InformeTrimestral_EneMar2014_PeruBosques FINAL-Ed.pdf
	InformeTrimestralAbrJun2014_PeruBosques2 VM- Ed.pdf
	0. PB_Informe Anual_Oct13-Sep14_27enero- Ed.pdf
	1. QR Oct_Dec 2014 Tecnico Ed.pdf
	2. QR Ene_Mar 2015 Tecnico Ed.pdf
	3. QR Abr_Jun 2015 Tecnico Ed.pdf
	AnnualReport_PeruBosques_Oct14-Sep15_Eng- Ed.pdf
	PB_QR_Q1_FY16_Oct-Dic15_FINAL aprobado- Ed.pdf
	PB_QR_Q2_FY16_Ene-Mar16_FINAL- Ed.pdf
Informe de Evaluación	BorradorInformeFinalPPB-USAID.11Oct16.pdf
Doc de DC y Entregables	11.PlanDesarrolloCapacidades_MDD_(Del16)_Nov272013.pdf
	2.Capacity Bldg Plan_MDD (New Del #16)_Eng.pdf
	4.Capacity Bldg Plan_Ucayali (New Del #15)_Eng.pdf
	PlanDesarrolloCapacidades_Lor_Del14_Nov292013.pdf
	7.Deliv.17_18_19_InstrumentosARA.pdf
	8.Deliv.22_SostenibilidadARA.pdf
	01 Empresario_Compromiso con el exito.pdf
	02_Empresario_Fundamentos de la Excelencia.pdf
	03 Empresario_Cinco Ss.pdf
	04_Empresario_Asociaciones eficaces.pdf
	05_Empresario_Procesos.pdf
	06_Empresario_Visión estratégica.pdf

Tipo de documento	Documento revisado
	Herramienta Medicion Sector Forestal I503I3.pdf
Documentos correspondientes al Anexo 2 (Entregable I8)	I60LS202_Estrategia_Inicio_Operaciones_ARAU.pdf
	I60LS202_MOF_ARAU.pdf
	I60LS202_PAP_ARAU.pdf
	I60LS202_ROF_ARAU.pdf
	O.R. N° 019-2014-GRU - Aprueba MOF y CAP ARAU.pdf
	Ordenanza ARAU_SA94.pdf
	REV. I60LSI60_CAP_ARAU.pdf
	REV. I60LSI6I_TUPA_ARAU.pdf
	RER_EIO_ARAU_GOREU_SA275.pdf
	244SA069_Ppta_MAPRO_DGFFS_GOREU.pdf
	244SA069_Prop_Inf_leg_TUPA_DGFFS-GOREU_Adec_29763.pdf
	244SA069_Prop_Inf_leg_MAPRO_DGFFS-GOREU-Adec_29763.pdf
	244SA069_Prop_MAPRO-DGFFS-GOREU-Adec_29763.pdf
	244SA069_Prop_Ord_TUPA_DGFFS-GOREU_Adec_29763.pdf
	244SA069_Prop_Res_MAPRO_DGFFS-GOREU-Adec_29763.pdf
	244SA069_Prop_Res_MAPRO_DGFFS-GOREU-Adec_29763.pdf
	275LS247_Proyecto_RER_Encargatura_ARAU.pdf
	Carta_MAPRO_ARAU_GRRNNyGMA_GOREU_Marzi5.pdf
Proyecto de informe técnico legal y ordenanza MOF – ARAU.pdf	
ROF_ARAU_2014-GOREU aprobado.pdf	
Asesoramiento legal y asistencia técnica para la atención de los procesos administrativos de la autoridad regional forestal del gobierno regional de Ucayali	A. Anexo I_Acta de Acuerdo.pdf
	A. Anexo 2_Diagnostico.pdf
	A. Anexo 3_RelacionexpedientesPAS.pdf
	A. Anexo 4_Manual PAS y Formatos.pdf
	A. Expedientes presentados.docx
	A. Informe Final_procesos administrativos ARAU.docx
Mejora de procesos técnicos y administrativos en concesiones forestales en apoyo a la gestión de la autoridad regional forestal de la región de Ucayali	B. Informe final_capacidades funcionarios ARAU.docx
REDD+	C. Capacidades REDD+ ARAU.docx
PIP “Mejoramiento de la ARAU)”	D. Producto Final_PIP ARAU.pdf
	D. ViabilidadCódigo SNIP 2705I I_PIP ARAU.docx
Documentos de gestión	E. Acta validacion ROF,MOF,CAP,PAP_ARAU.pdf

Tipo de documento	Documento revisado
ARAU	E. Informe Tecnico Legal_Resolucion MOF_ARAU 2013.docx
	E. Informe Tecnico Legal_Resolución_ PAP ARAU 2013.docx
	E. MOF - ARAU - Versión Final.docx
	E. MOF ARAU 2013.pdf
	E. PAP 2013 ARAU_Versión Final.xls
Programa de Inducción en Organización y Funcionamiento del Estado en las Regiones de Ucayali y Loreto	F. Informe_Inducción funcionamiento.doc

### Proyecto Iniciativa para el Sector Forestal Peruano (PFSI)

Tipo de documento	Documento revisado
Contrato	AID-527-T-11-00001 - AFSI - Program Description only- Ed
	USA_peru_environmental_cooperation_2011-2014_ing_Ed
	AID-527-T-11-00001 - AFSI - Schedule- Ed
Plan estratégico institucional	PEI USFS PFSI 20 junio 2013
Planes de trabajo	Work plan_Narrative_FY 13_PFSI_FINAL - Ed
Planes de M_E	PMP PFSI - FINAL (08aug2013)No-Ed
Reportes	2011 Q4 - Annual - PFSI USFS Annual Report FY11 - Ed
	Final Report for February 2011 Peru mission_TA to DireccForestal No- Ed
	2012 Q4 - AFSI - No -Ed
	2013 Q1 - AFSI- Ed
	2013 Q2 - AFSI - Ed
	2013 Q3 - AFSI - Ed
	2013 Q4 - AFSI Annual Report-Ed
	2014 Q1 - AFSI FY14 Q1- Ed
	2014 Q2 - AFSI FY14 Q2 - Ed
	2014 Q3 - AFSI_FY14_Q3-Ed
	2014 Q4 - Annual ReportAFSI FY14 Q4 -Ed
	FY15 Q1 - AFSI Report_Regional- Ed
	AFSI FY15 Q2 Report_Regional- Ed
	AFSI FY15 Q3 FINAL- Ed
	AFSI FY15 Q4 Annual Report_Ed
	AFSI-PFSI FY16 Q1- Ed
AFSI-PFSI FY16 Q3- Ed	

Tipo de documento	Documento revisado
Informes de evaluación	PFSI Midterm
One Pager	One Pager PFSI
Otros	Informe del curso de capacitación - IDE SM
	Cronograma_IDE_GORELoreto_2017
	Entrevistas post Study Tour IDE 2016 - Borrador
	PFSI Action plan - Mid term evaluation FINAL
	ToR_StudyTour_IDE_2015_CIO

### Proyecto Iniciativa para la Conservación de la Amazonía Andina (ICAA II)

Tipo de documento	Documento revisado
Planes de M_E	isu_pmp_update marzo 29 2016 vf No- Ed
	PMP ICAA actualizado 26 marzo 2016 vf - No Ed
Reportes	ICAA II wide final report 2016 (esp)
	1. ICAA II wide final report 2016
	ISU Final Report_v9
Informes de evaluación	2. Mid Term Evaluation Report 2015
	Informe FIR 9 marzo 2016
Doc de DC y entregables	Resultados e Impactos Capacitacion
	Actividades del Tema Transversal Género Unidad de Apoyo ICAA 19junio2014
	Plan de Plan de Acción de Género ICAA Final Agosto 2012
	Caja de herramientas información y conocimiento
Otros	PlanAccionDesarrolloCapacidades_Rev16Set14_aprobado vf
	lecciones_aprendidas_gdc_de_iec_ppii_final_l

# ANNEX 6: EQUIPO RESPONSABLE DEL ESTUDIO

## **LUIS SOLTAU, LÍDER DEL ESTUDIO**

Economista por la Pontificia Universidad Católica del Perú (PUCP), con estudios de posgrado en Desarrollo Regional y Gerencia Social por la Johann Wolfgang Goethe Universität (Frankfurt a.M./Alemania). Es profesor ordinario en el Departamento Académico de Ciencias de la Gestión de la PUCP y director gerente de la empresa A TIEMPO - Consultoría para Desarrollo SAC. Cuenta con experiencia en investigaciones interdisciplinarias y de evaluación de gestión y estrategia organizacional. Se ha desempeñado en las más elevadas posiciones ejecutivas y directivas en instituciones del sector público (COFIDE, SUNAT, MML-ICIL) y la cooperación internacional (GIZ, Proyecto PRA- USAID, PDAP-USAID). También ha sido consultor de organismos internacionales (BID, UE, BMZ, CTB, Technoserve) y organizaciones empresariales diversas.

## **DIEGO ESPINOSA, ESPECIALISTA EN METODOLOGIAS CUALITATIVAS**

Filósofo de formación por la Pontificia Universidad Católica del Perú (PUCP), con maestría en Economía Ecológica por la Universidad de Edimburgo; actualmente, es profesor en el Departamento Académico de Ciencias de la Gestión (DACG) de la PUCP. Además, cuenta con experiencia en investigaciones interdisciplinarias y planeamiento estratégico del desarrollo sostenible, responsabilidad social, participación ciudadana, relaciones comunitarias y asociatividad. Tiene experiencia en la elaboración de evaluaciones y manejo del valor social y ambiental (EIA – EAE) y presenta un manejo avanzado de software de información cualitativa como ATLAS.ti y PQMeth.

## **JOSE LUIS DÍAZ, ASISTENTE CUALITATIVO**

Psicólogo de formación por la Pontificia Universidad Católica del Perú, con experiencia en investigación organizacional de mercados, organizacional y académica. Actualmente se especializa en monitoreo y evaluación de proyectos sociales, habiendo desempeñado labores de asistencia y consultoría en UNOPS para la programa alimentario Qali Warma y el proyecto artístico educativo Expresarte, del Ministerio de Educación. Cuenta con conocimientos de análisis estadístico (SPSS) y cualitativo (ATLAS.ti).

## **GONZALO ESCALANTE, ASISTENTE CUALITATIVO**

Sociólogo de formación por la Pontificia Universidad Católica del Perú, con estudios de postgrado en Gestión del Desarrollo Sostenible en la Universidad ESAN. Cuenta con experiencia en la realización de estudios de investigación social, sistematización de experiencias y monitoreo y evaluación de proyectos enfocados en la infancia, educación y medio ambiente. Asimismo, cuenta con conocimientos de análisis estadístico a través de la herramienta SPSS, habiendo alcanzado el nivel intermedio en la Escuela Nacional de Estadística e informática, y de análisis cualitativo por medio de la herramienta Atlas.ti.

## **DIEGO RENGIFO, ASISTENTE CUALITATIVO**

Licenciado en Gestión Empresarial, con mención sobresaliente, por la Facultad de Gestión y Alta Dirección de la Pontificia Universidad Católica del Perú. Actualmente, es analista de negocios mayoristas en la banca institucional del Banco de Crédito del Perú. Cuenta con experiencia en consultoría en el sector público, a partir de participación como asistente en consultoría para World Wildlife Fund (WWF) “Recomendaciones para mejorar la gestión de las entidades del Estado en el marco de la iniciativa pacto nacional por la madera legal”.

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